

The background of the book cover is a close-up photograph of footprints in dry, brown sand. The footprints are of various sizes and patterns, some showing distinct tread designs. A bright yellow rectangular overlay covers the middle section of the cover, containing the title and subtitle in white text.

STRATEGIC FOLLOWERSHIP

HOW FOLLOWERS IMPACT
ORGANIZATIONAL EFFECTIVENESS

DAVID B. ZOOGAH



Strategic Followership

Also by David B. Zoogah

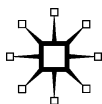
Managing Organizational Behavior in the African Context

Strategic Followership

How Followers Impact Organizational Effectiveness

David B. Zoogah

palgrave
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STRATEGIC FOLLOWERSHIP

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Dedicated To

Suakamane, my wonderful Mother, whose teachings were arrested by her untimely departure. May her continued guidance sustain and protect her grandchildren, *Coniah and Jalen*, in their journey toward the glorious summit she dreamed for them!

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Preface

Although followership is the complement to leadership, there are sparingly fewer studies of followership. As many scholars have lamented, followership is as important to organizations as leadership. It is therefore unfortunate that a complement to strategic leadership has hitherto been lacking in the literature. The purpose of this book is to fill this void. I introduce strategic followership because followers can contribute value when they execute their roles. I discuss four major areas of study for those interested in strategic followership: restorative, transcendent, neuronal, and virtuous. The strategic value of followers can be examined from these areas. In each area, there are specific domains that can be examined. The followership situations, termed strategic situations, along with the strategic discernment or decision-making processes, strategic roles, and strategic actions can be examined within the context of restorative, transcendent, neuronal, and virtuous followership.

My goal in writing the book is twofold. First, I want to encourage more research in followership, especially from the strategic perspective. Followers can contribute meaningfully to organizations' strategic goals in much the same way that executives do. Second, I wanted a book that reflects both the "ailing" and "healthy" aspects of leadership. That is why I did not elaborate on the "normal" state or what the strategic followership framework terms maintenance. Extant research and other books have examined that state. In order to bridge the research-practice gap, I devote the last chapter to discuss how managers can establish mechanisms that facilitate strategic followership. Without such mechanisms, followers cannot create strategic value. The book can assist in that regard.

The ability of managers to understand, explain, and predict strategic behavior of followers enables them to effectively manage follower activities. After providing a background to strategic followership in the first part of the book, I discuss the two major aspects of strategic followership—restorative and transcendent. I then discuss extensions—neuro-followership and virtuous followership. What are the processes of strategic followership? What drives strategic followership? What are the outcomes of strategic followership? These questions and several others

(e.g., what are the contingencies of restorative followership?) are answered in Parts I and II of the book. I organize the book into three parts. In Part I, I provide a background to strategic followership with introduction, theoretical perspectives, and review of followership literature. In Part II, I discuss the framework and major components (restorative and transcendent) of strategic followership. Part III discusses two extensions of strategic followership. The last chapter is a conclusion that outlines managerial implications.

PART I: Background

Chapter I. Introduction

In this chapter, I briefly define and show the significance of strategic followership. I then outline how research in strategic followership is important and elaborate on the scope and domains of strategic followership. I also outline the paradigmatic basis of strategic followership. I conclude with an overview of each chapter.

Chapter 1. Theoretical Perspectives of Strategic Behavior

In this chapter, I review sociological, anthropological, economic, management, and social psychological theories on strategic behavior. These theories serve as the foundation to understand strategic followership.

Chapter 2. Followership

In this chapter, I review followership research and identify the antecedents, processes, typologies, and consequences of followership. I conclude the chapter by pointing out the gap in the literature and why strategic followership is important.

PART II: Strategic Followership

Chapter 3. Strategic Followership Framework

In this chapter, I introduce the framework for strategic followership using deviance theory. The framework is a continuum of views on strategic followership and presents strategic followership as forms of negative, normal, and positive deviance.

Chapter 4. Restorative Followership

I discuss states and processes of strategic followership from the negative deviance perspective in this chapter. It is predicated on bad leadership. A follower's role (and strategic value) in that context is to restore the "diminished" value resulting from bad leadership. I term this type of strategic followership as restorative. Specifically, the types of strategies that are likely to be adopted by followers are discussed based on decision and behavioral dimensions. I also focus on factors that trigger or precede strategic followership. This is consistent with the followership literature, which generally identifies antecedents of followership. In addition, I discuss consequences or outcomes of strategic followership. Both the antecedents and consequences are discussed at individual, organizational, and societal levels. Finally, I discuss contingencies or moderators of the relationships between antecedents and strategic followership on one hand, and between the latter and consequences on the other.

Chapter 5. Transcendent Followership

In this chapter, I discuss the second major component of the framework—positive deviance. Otherwise termed transcendent strategic followership, the chapter focuses on extraordinary or uncommon contributions of followers. I discuss the states and processes of positively deviant strategic followership. In addition I focus on the factors that trigger or precede strategic followership. Both the antecedents and consequences are discussed at individual, organizational, and societal levels. I also discuss contingencies in the context of positive deviance.

PART III: Extensions

Chapter 6. Neural Basis of Strategic Followership

In this chapter, I discuss neuro-followership. It is presented as suitable for dual situations, where a follower interacts with two leaders, one good and the other bad. I outline the neuronal processes that enable such a follower to function effectively in such contexts.

Chapter 7. Virtuous Followership

In this chapter, I discuss virtuous followership. I present a typology of follower virtues and capacities. These extensions buttress the nomological network of strategic followership.

Chapter 8. Managerial Implications

In Chapter 8, I conclude the book. I discuss managerial implications with regard to restorative, transcendent, neuro-, and virtuous followership by outlining various ways in which managers can facilitate strategic behaviors that maximize the strategic value of followers.

Acknowledgments

Several people have contributed directly or indirectly to the completion of this book. They deserve appreciation. I am grateful to my friend in Ghana who sowed the seed of strategic followership. I also appreciate the invaluable ideas of Dr. Phyllis Keys, Morgan State University. I thank Aleshia Zoogah for watching Coniah and Jalen while I labored over this book. Other people also facilitated my arrival at this point: they supported and encouraged me. I owe a lot to the late Rev. Fr. Paul Rehling, whose counsel, support, and help enabled me to get to the United States. I also thank Fr. Ugo Nacciarone, SJ, for his support since 1985. But for Robert and Margaret Cloud, my life and career would have taken different directions. Along the way, some other special people were influential. To them I owe much. Especial gratitude to James Walsh, University of Michigan, who, despite his prominence and stature, demonstrated inimitable humility and support. Thanks Muzungu! Stella Nkomo, first President of the Africa Academy of Management (AFAM), showed similar support and humility. She is as enthusiastic as I am for uplifting Africa management. Another unforgettable person is Mike Peng of University of Texas at Dallas. Mike has been an invaluable mentor, and I strategically follow him from a transcendent perspective. I cannot forget my other colleagues of the AFAM executive board. They are exemplary in both their strategic followership and strategic leadership when it comes to advancing Africa management. To the MBA students of GIMPA, Ghana, who offered ideas on the strategic decision-making model, I say thank you very much. I also thank my brothers and sisters for their support. All other friends who in indescribable ways assisted me deserve to be acknowledged. To them I say, thank you!

Part I

Background

Introduction

During my college days in my native country, Ghana, I observed that executives, particularly CEOs, were appointed and tenured in ways that, by the standards of my adopted country, the United States, or even that of European countries, would not make sense. When I finished my doctorate, I decided to study the leadership behaviors of executives (i.e., strategic leadership) in my country. Given that access to executives is “privileged,” I decided to use a network that, although weak, was strong enough to enable me to meet a few executives. In the process, I had the opportunity to visit Mr. Okranie, a long-lost friend who is now a director in one of the ministries in Ghana. Naturally, my friend wanted to know how it was that I had called him after so long a period of no communication.

After I explained my objective, he interjected that it is not only executives or leaders who have to be studied—“followers also have to be studied.” “Some people do not know how to be followers here; they do not contribute to the objectives of the organization,” he added. He told a story of how he had observed for two years his department’s rapid decline in productivity, legitimacy, influence, and control. After reflecting on the situation for a week, he discerned that the decline began when his boss assumed leadership. In addition to being depraved, his boss was irresponsible with regard to the finances of the organization, “helping himself to the cookie jar whenever he wanted.” Not long after this realization, my friend’s boss asked him for a “favor”; the boss wanted him to endorse a scheme to swindle some money that had just come in as part of an investment program. My friend clearly did not want to and was not going to support that scheme, but because of the consequences that he might have to face (e.g., being fired), he had to appear as not disapproving of the request. He reasoned that within a few months his boss would be gone. As a loyal follower of his directorate, being tardy in his response was therefore the best strategy for him at that time, and that is exactly what he did!

After I left his office, I began mulling over what type of followership he was talking about. If he meant followers as subordinates, then he was in effect referring to the effectiveness of subordinates with respect

to job performance, something we know a lot about. However, because followership is a role, he must have meant role effectiveness, another area on which a lot has been written for over 50 years. Even though subordinates as followers contribute to organizational effectiveness, few studies and books have actually examined followership and strategic followership specifically. At least we do not know as much about followers as influencers of strategic value, even though some scholars called for followership studies over 30 years ago. These scholars contend that followership is the obverse of leadership and that without a follower you cannot have a leader. The director's emphasis on "contribution to the objectives" of the organization led me to think of strategic followership. In my attempt to define it, I first failed because I linked it to operatives that would fit with traditional notions of subordinates. I let it go until one day I heard a talk given by a guest speaker at my school. His talk touched on behaviors executives expect of employees. Afterward, we chatted a bit, and I asked for his views on the prevailing paradigm in organization science and its relationship to employees.

He paused for a moment and began to recount his experience at his current and previous organizations. He had observed for three years that his unit could do more for the organization than it was currently contributing with regard to productivity, control, legitimacy, and influence. He thought that the advancement of the organization could begin when employees aligned their behaviors with those of their bosses. He recounted situations where the employees observed that some managers, as leaders, not only created toxic environments but also transgressed into financial impropriety. They always demanded bribery on requisitions." I asked if all employees were complicit. He indicated that some employees refused, on pain of death, to assist these managers. Other employees offered suggestions of how they could contribute in an extraordinary way to help the managers "overcome their demons." Those employees believed that their extraordinary ways could help advance the organization. The responses from the managers were interesting in their variety in much the same way as the behaviors of the subordinates were. Some managers did not want the subordinates to be ensnared in challenges they could not overcome. Others asked for more time to reflect on the suggestions. Still others specifically demanded transcendent acts.

Transcendent acts? What does that mean in the context of followership? Even though I did not comprehend the relationship between transcendence and followership when the speaker first mentioned it during our conversation, I discovered later that it has as much, if not more, to do with strategic followership. As I explain below, both represent two poles on the strategic followership spectrum.

A third pole in that spectrum emerges from an *ex post facto* reflection on a comment made by a colleague at a Baylor University conference on Africa, themed “Emerging Africa: Poverty Reduction and Wealth Creation.”¹ Some of the executives of the Africa Academy of Management (AFAM) were invited to discuss management practices in Africa. The four executives were all faculty members in diverse business and economics departments in US universities, and they came from different African countries. Because the conference was intended to draw out ideas on advancing or developing Africa, we discussed the constraints and opportunities for development. Some of us focused on institutional void as the cause of the perennial underdevelopment. Others focused on the lack of resources and technology. Still others focused on leadership failures and ineffectiveness. One member opined that it is not only leaders who are to blame and that the citizens, as followers, also have a role to play. “They can oppose the system and leaders if the latter are taking their countries in the wrong direction,” noted one member. “Ineffective followership is also to blame,” he concluded. His point is similar to that observed by Barbara Kellerman, a scholar of followership at Harvard Business School. I believe followers can make or break the leadership interface. Followers can transform their units by addressing the “ills in the environment” and/or the “ills of leaders.” Followers who advance their organizations by solving problems therein are as important as those who overcome challenges to do so.

These vignettes illustrate not only the challenges followers face and the solutions they try to devise but also the opportunities organizations have to maximize the potential of followers in transforming relatively mundane events, incidents, and situations to high-impact outcomes. They are opportunities for organizations to capitalize on the capability of followers to achieve strategic goals and make organizations effective. That is the purpose of this book: to show how followers can strategically contribute to organizational effectiveness.

Incidents such as those recounted by my friend and the speaker occur not only in Africa; subordinates in private, public, and not-for-profit organizations in Asia, Australia, Europe, and America face similar situations. Strategic followership, as discussed in this book, can therefore be useful in all these contexts. After reflecting on all these incidents, I realized that they deal with different facets of strategic followership. So the major question is this: *What is strategic followership?* An appreciation of strategic followership derives from the knowledge of its importance. It is also helpful to understand the major elements of strategic followership—its scope, dimensions, determinants, and outcomes—so as to facilitate scientific investigations to deepen our understanding. Throughout the book

I address these elements by linking them to two major poles of the strategic followership continuum: restorative and transcendent behaviors. In the next section, I provide the background to this continuum by defining strategic followership.

Definition of Strategic Followership

Ask a high school student who a follower is, and he/she is likely to say that it is someone who follows another person. Right as it seems, the definition does not appeal to academics simply because of the circumlocution. We cannot know a follower when we see one. For example, in a situation where two people are rushing to the bank before it closes, the person behind is not a follower simply because he/she follows the one in front. If you ask a worker in the workplace to define the term, you are likely to get synonyms such as “subordinate,” “operative,” “lower-level person in the organization,”² etc. Obviously, these are the foci of followership but still do not tell us who a follower is. A person on the street might respond to the same question in much the same way as the high school student but probably link it to politics by saying “citizens who are in the same community as a senator’s” or “members who have to listen to a community leader.”

The point is intuitive; we know who followers are but it is often a challenge to define them. It is even more challenging to define strategic followership if we do not first understand who a follower is. Because this book focuses on followership in organizations as opposed to political followership, I define the concept from that view. My interest is to encourage studies of followers in organizations so as to maximize their potential and effectiveness.

Unlike leadership scholars, followership scholars are few. As a result, there are fewer and less ambiguous definitions of followers and followership. Three major perspectives involved in the definition of followers are rank, person, and role. From a rank perspective, a follower is equivalent to a subordinate who has “less power, authority, and influence than do their superiors and who therefore usually, but not invariably, falls into line.” According to the person perspective, a follower is a person who in general, but not necessarily always, agrees with the overall values and directions of the organization. The role perspective views followers as individuals who enact a set of behaviors that are appropriate for a follower. Unlike the definitions from other perspectives, the role perspective suggests that anybody can be a follower; managers, for example, can be leaders at one time and followers at another time. Followership, therefore, can be defined as a role enactment process. Followership has also been defined as

a state (the acceptance of influence of another person or persons without feeling coerced for working toward what is perceived to be a common purpose), a process (the process by which followers endorse the influence of others, deemed to be leaders), as well as a capacity (a follower shares in an influence of others with the intent to support leaders who reflect their mutual purposes). I integrate the state, capacity, and process views of followership with the role perspective in defining strategic followership.

However, it is important to understand what I mean by “strategic.” In the ordinary parlance, a strategy is a plan, method, or series of maneuvers or stratagems for obtaining a specific goal or result. The military definition that has dominated management science views strategy, in one sense, as the science or art of combining and employing the means of operations when planning and directing large-scale logistics and operations. As a result, management scholars define a strategy as a unified, comprehensive, and integrated plan to help achieve enterprise objectives. Strategic management, which focuses on the study (i.e., science and art) of strategy development, implementation, and evaluation that enables organizations to function effectively or to gain competitive advantage, has identified various ways in which individuals behave strategically. One way is the skillful use of a stratagem by a manager or executive, as an individual. When in the course of negotiation a subordinate uses a stratagem for promotion with a supervisor who is a friend, that subordinate adopts a strategy of allied attachment. In that case, the term “strategic” connotes capacity. In another sense, strategy, which differs from tactic, refers to the utilization of an entity’s resources, through planning and development, to ensure security or victory. Tactics are generally associated with subterfuge or the ability to outwit an opponent. Both apply to followership.

I argue that effective followership involves careful consideration or contemplation of the relational dynamics involving a follower and a leader. That contemplation is equivalent to strategy development in that it refers to a follower’s discernment of how to optimize the relational capital. After the contemplation (the first step), the follower enacts whatever he/she has decided. The decision might involve compliance or resistance and results from serious reflection of the consequences or effects on the stakeholders—follower, leader, and organization. That is implementation (the second step). The third step is evaluation. Effective followership entails appraisal of the posterior or enacted behavior. Such appraisal yields valuable learning for future interactions with other leaders and organizations. This process manifests when employees are solving organizational problems through which they contribute to the strategic objectives of the organization, such as cost reduction or increased productivity, or when they are acting in extraordinary ways that advance the goals of the organization.

The definition of strategic followership therefore encompasses both the problem-solving and transcendent views, as does this book in general. Consequently, I define *strategic followership* as *the systematic process by which a follower, in enacting an impactful role, strategically discerns the value of his/her interaction with a leader, and behaves in a way that yields short-term and/or long-term meaningful outcomes for significant organizational constituents*. Of course, the definition is bounded within the organization. However, when the organizational context is removed, strategic followership also applies to other contexts. Organizational constituents include the organization per se as well as others (e.g., customers) with whom a follower may interact. They are relational stakeholders (constituents that have an interest in the relationship a follower has with a leader).

Three characteristics of this definition are worth noting. First, the definition focuses on a systematic process. It suggests that there are inputs that are transformed to outcomes through relational processes. In that regard, followership role enactment is not a state; it is a process. Second, the definition suggests that followership outcomes are meaningful, that they contribute to achievement of strategic goals. Strategic followership therefore has to yield outcomes that are long term and dramatically different from when the follower did not enact the role. The strategic value of followers can thus be determined by the extent to which follower behaviors affect organizational goals. Embedded in strategies are transformational states. Similarly, transformational strategies are embedded in strategic followership.

The third characteristic centers on strategic features—discernment, action, and interaction. As a role, effective strategic followership involves contemplation of the long-term import of decisions and actions of both the subordinate and superior (i.e., envisioning), adaptation to endogenous (i.e., relationship) and exogenous (i.e., broader context) changes, and transformational relating (i.e., relating with the leader in a way that yields long-term significant outcomes). The last feature, strategic interaction, has three implications. First, strategic interaction occurs when problems are resolved. Problems are gangrenous; they can eat away the bottom line of organizations. When followership solves problems, it heals the gangrene. In that regard, it contributes to the strategic objectives of the organization. Second, it sustains relationship. Maintenance of order in organization is as important as problem-solving because it keeps the “ship on an even keel,” which then allows for speedy navigation. Maintenance of balance ensures that resources are utilized to achieve speedy outcomes. Third, it advances organizations. Unlike the previous two, this third implication focuses on the promotion of organizations. Strategic followership that

promotes organizations is transcendent; it manifests when followers overcome challenges to achieve outcomes that advance the relationship they have with leaders. Transcendence is an extraordinary attribute. Transcendent followership therefore requires followers to act in extraordinary ways toward leaders. I argue that strategic followership involves extraordinary behaviors, particularly when the relationship is in stasis. The restorative behaviors of followers in dysfunctional relational situations are also significant. It is not unusual for followers to undermine leaders when the latter are not effectual.

Significance of Strategic Followership

You may have inferred from the definition that I view strategic followership as very important for organizations. You are right! The significance of strategic followership seems evident if you consider the contribution of followers in the stories I recounted. The first story, which recounts my friend's comment that followers do not know how to contribute to organizational outcomes, implies that organizations have to induce followers to optimize their potential. Followership manifests in the relational space. Given that organizations are configurations of relationships, the extent to which they maximize outcomes of those relationships can enable organizations become more effective. By preventing problems, followers contribute economically to organizations. Legal costs from discrimination, diversity, improper firing or dismissal, etc., can be eliminated, if not minimized, when organizations harness strategic followership.

In addition to economic contribution, followers can report problems that, with timely intervention, can minimize or eliminate image destruction, loss of legitimacy, and reputation. Marketing and organizational scholars show that these psychological outcomes have tremendous value for organizations. In fact, even if followership only maintains the status quo, that in itself is valuable, since it puts the organization on an even keel. Order and stability are invaluable outcomes of organizations. This significance is implicit in the second story. The third story illustrates contribution from the transcendence of followers: their strife to overcome challenges just to fulfill relational tasks that yield positive value for organizations is meaningful. If followers go out of their way to perform tasks based on relational demands, the outcomes of those tasks can be harnessed by organizations. Transcendent behavior is predicated on individuals going out of their way to execute tasks that promote their organizations. In addition to the outcomes illustrated by these stories, strategic followership taps the emergent processes embedded in lower levels. In other words,

it marshals the potential (expertise, experience, creativity, intelligence, and knowledge) of subordinates during interactions to affect individual, dyadic, and organizational outcomes. The support followers provide to supervisors or leaders frees up psychological and social resources of the latter.

Thus, the book focuses on individuals' (anyone who has to enact the follower role) response to situations that bespeak strategic contribution to organizations. As I explain in subsequent chapters, that contribution manifests through demonstration of not only ordinary behaviors but also and particularly extraordinary behaviors. Both ordinary and extraordinary behaviors contribute to organizational productivity. Organizations are no longer interested only in ordinary behaviors that maintain or enable them to function. In addition to those behaviors, they want extraordinary behaviors, behaviors that require overcoming challenges or responding to followership role demands (i.e., the degree to which a follower perceives role-associated tasks, situations, events, and processes as difficult or challenging). Since the Great Recession, supervisors have resorted to requesting subordinates to perform tasks outside of the norm (e.g., work 60 hours instead of 40 hours). Given the dismal economic and labor market situation, subordinates cannot but oblige even if they want to refuse such offers. Compliance with the request increases workload, which creates stress and, in some cases, psychosomatic ailments. Even though employees may perform these tasks begrudgingly, the outcomes nevertheless contribute to organizational performance. If the requests and outcomes relate to the strategic imperatives of organizations, the contribution is deemed strategic.

In one sense then, such behavior is neither novel nor different from operative, tactical, and strategic tasks often executed by employees. Indeed, some scholars define management as the ability of managers to influence subordinates to perform tasks they normally would not do. This influence is often directed at strategic objectives that enable organizations to gain competitive advantage. The same is said of leadership—the ability of an individual to influence another person to do something. Leaders are effective to the extent that they are able to influence followers to behave for the fulfillment of some objective, strategic or otherwise. Indeed, the same can be said of humans in general. Humanity moves because of our ability to influence one another to behave in a transformative way.

Does that mean the book has no contribution? Certainly not! The book elaborates on how those organizations can transform those familiar tendencies to extraordinary behaviors and outcomes. My interest is to show how extraordinary behaviors of employees in followership roles

contribute to advancement of the organization. Extraordinary behaviors refer to actions that are above the norm and that demand so much of the follower. Extraordinary behavior suggests followers will overcome the expectation(s) (i.e., hurdles) to generate outcomes that enable the relationship with a leader to flourish. It is the ability of a follower to facilitate the flourishing of a relationship that makes it transcendent; flourishing relationships contribute to organizational outcomes in diverse ways including image projection, legitimacy, learning, growth, development, and order.

Research on Strategic Followership

There is research on followership but not as much as on leadership, even though scholars have called for studies on followers since they complement or function as equal partners to leaders. The followership perspective, however, argues that followers are not mere vessels into which the wisdom of leaders is emptied; rather, they are active agents that can play constructive roles. Here, the follower-leader dyad is a collective responsibility such that both should be working together in a relationship of mutual influence. Effective followership is not merely heeding the counsel or dictates of the leader, but opposing them as appropriate. As a result, a number of leadership theories have emphasized the integral role of followers in the leader-follower relation.³ The followership literature suggests that theorists construct the image of active follower from four basic tenets of active followership theory: (a) followers and leaders are roles; (b) followers are active, not passive; (c) followers and leaders share a common purpose; and (d) followers and leaders must be studied in the context of their relationship. As a result, there have been attempts to examine the extent to which followers are active agents in relationship with leaders. Such studies have identified motivations, challenges, worldviews, and prototypes (e.g., courageous) of effective followers. Indeed, some scholars have recently proposed the concept of virtuous followership, arguing that followers can exhibit virtues in their relationship with leaders, and virtuous followership is critical to effective leader-follower relationships. Extending that belief in the potential of followers, I propose strategic followership in this book because I believe followers can contribute strategic value to organizations. I attempt in this book to answer questions of how, why, and when followers contribute to organizational effectiveness. My expectation is that managers and leaders of organizations will tap the potential of followership to maximize their competitive and cooperative advantages.

Domains of Strategic Followership

The four domains of strategic followership are summarized in figure I.1. The first domain is strategic situations. In the social sciences, situations affect cognitions, affect, and behavior of individuals, groups, and organizations. They are also major factors in the leadership literature. However, I am only interested in strategic situations that affect strategic followership. Strategic situations impact strategic roles, and are value-laden contexts that call for strategic action. The three contexts discussed in this book include negative, neutral, and positive deviances even though more emphasis is placed on negative- and positive-deviance situations.

The second domain is strategic role. A role generally refers to a standardized pattern of behavior required of an individual involved in a functional relationship. A functional relationship suggests a relationship that yields outcomes to the parties in the relationship. In organizational contexts, the parties in the relationship may be direct actors such as the follower and supervisor or indirect actors such as the organization and society. The outcomes of interest in this book are strategic. Followership roles that yield valuable outcomes are strategic roles.

The third domain is strategic discernment. Strategic discernment refers to the process of reflecting on strategic situations, consequences of those situations, and potential response options, and enactment of chosen options that yield valuable outcomes. Through decision-making, followers discern not only the situation but their role and how they can act to generate value. Frameworks on decision-making are diverse; they cover a

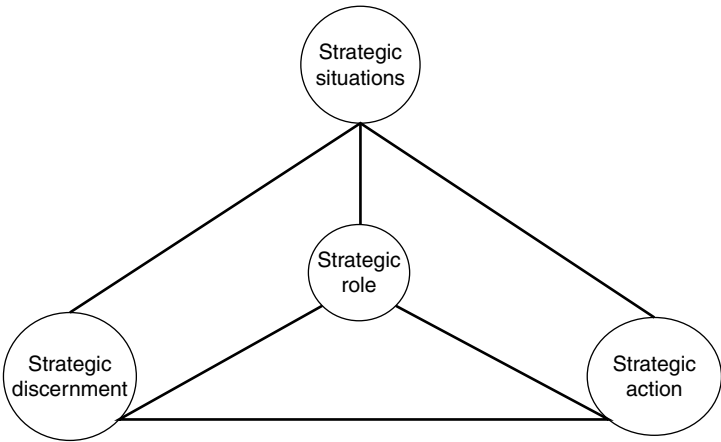


Figure I.1 Domains of strategic followership

broad spectrum of interpersonal and organizational activities. How followers make acute judgment on strategic situations so as to enact response options that yield value to stakeholders is important for organizations. This focus on decision-making facilitates the understanding of strategic followership.

The fourth domain is strategic action. Researchers interested in strategic followership focus on strategic actions—behaviors that create value through response to strategic situations. There are diverse strategic responses but they can be grouped into restorative, maintenance, and transcendent. The first and last are explicated in detail in Chapters 4 and 5, respectively. The value generated from the strategic action is intended to benefit all actors, distal and proximal, in the relational network. In the organizational context, followers' actions benefit not only the leader in the core relational interface but also proximal constituents such as supervisors and distal ones such as stakeholders. The osmotic effect of strategic value distribution enables positive outcomes to transfer to constituents outside the relational membrane. A strategic relational network is thus a set of core, proximal, and distal constituents that are affected by the strategic behavior of followers.

Scope of Strategic Followership

Two dimensions define the scope of strategic followership: hierarchy and purpose. The hierarchy dimension focuses on the relational structure between an individual (deemed subordinate or inferior) and his/her relationship with another (deemed manager or superior). Even though I am primarily interested in organizational relationships, the hierarchy dimension suggests that nations can also be strategic followers of other nations. Underdeveloped nations, for example, because of their dependence on advanced or developed nations, have to behave strategically to sustain the relationship. However, the central actors of the book are operatives, supervisors, managers, and executives in organizations, who often occupy strategic followership roles. For operatives, their supervisors are deemed to be superior. Executives function as superiors of managers because the latter report to them. A chief executive officer (or board of directors) to whom executives report functions as superior to the latter.

The second dimension, purpose, is based on the recognition that relationships are purpose or goal driven, and goals are ordered from superordinate to ordinate and basic. Just as relationships are diverse, so too are the associated motives of those relationships. In organizations, motives are either personal or organizational. This does not mean that both motives

cannot be combined in a single relationship or are not interdependent. For practical reasons, however, I distinguish them as independent.

The combination of the dimensions results in four major types of relationships. First, strategic followership focuses on subordinates who have subordinate goals. An example is operatives. Second, it focuses on subordinates who have superordinate goals. Supervisors exemplify this category. The third type refers to superiors with subordinate goals. Managers typify this class of strategic followers. The last type, exemplified by executives, focuses on superiors with superordinate goals.

In sum, the scope of strategic followership encompasses all classes of employees that have to relate with other people who are considered leaders by virtue of some natural or ascribed status. That means operatives relating to supervisors, supervisors relating to managers, managers relating to executives, executives relating to board of directors, and board of directors relating to shareholders.⁴ It also focuses on efferent (strategic followership that is associated with social and behavioral processes) and afferent (strategic followership that is centered on neural activations of followers) processes that underlie the strategic behavior of followers.

Paradigmatic Tradition

Followership has been examined by diverse intellectual traditions and paradigms. In this book I adopt an eclectic view that integrates not only functionalist and post-structuralist views but also the positive organizational scholarship (POS) and even pre-POS paradigms. The approach is consistent with the garbage can model of managerial decision-making, which argues that managerial actions in organizations are not linear or clearly predictable. Rather, managerial actions are a potpourri of activities that manifest as a function of the specific situation or event managers encounter. Further, extant studies in the strategy literature show that strategic outcomes are not entirely a function of strategy formulation, implementation, and evaluation but a mix of situational, employee, leadership, organizational, and environmental factors. Not only are multiple disciplines including sociology, psychology, economics, neurobiology, and management used but also integrated sets of micro-, meso-, and macro-level factors are viewed as effective ways of appreciating strategic outcomes in organizations.

Overview of the Book

This book is organized in three parts. In Part I, I discuss the background to strategic followership. I begin with a multidisciplinary review of strategic

behavior in Chapter 1. In this chapter, I review sociological, anthropological, economic, management, and social-psychological theories on strategic behavior. These theories serve as the foundation to understand strategic followership. In Chapter 2, I briefly review followership theory with specific focus on antecedents, processes, typologies, and consequences of followership.

Part II focuses on the framework and its components. In Chapter 3, I introduce the framework for strategic followership. The framework is a continuum of views on strategic followership. From a deviance perspective, the framework presents strategic followership as responses to negative, normal, and positive deviance. The concept of deviance is explored and strategic followership mapped unto that background. I discuss states and processes of strategic followership from the negative-deviance perspective in Chapter 4. It is predicated on bad leadership. A follower's role (and strategic value) in that context is to restore the "diminished" value resulting from bad leadership. I term this type of strategic followership restorative. Specifically, the types of strategies that are likely to be adopted by followers are discussed based on decision and behavioral dimensions. I also focus on factors that trigger or precede strategic followership. This is consistent with the followership literature, which generally identifies antecedents of followership. In addition, I discuss consequences or outcomes of strategic followership. Both the antecedents and consequences are discussed at individual, organizational, and societal levels. Finally, I discuss contingencies or moderators of the relationships between antecedents and strategic followership on the other hand, and between the latter and consequences on the other.

In Chapter 5, I discuss the second major component of the framework—positive deviance. Otherwise termed transcendent strategic followership, the chapter focuses on extraordinary or uncommon contributions of followers. I discuss the states and processes of positively deviant strategic followership. In addition I focus on the factors that trigger or precede strategic followership. Both the antecedents and consequences are discussed at individual, organizational, and societal levels. I also discuss contingencies in the context of positive deviance.

In Part III, I discuss extensions of strategic followership. Specifically, I focus on the neural and virtuous bases of strategic followership. In Chapter 6, I discuss neuro-followership. It is presented as suitable for dual situations, wherein a follower interacts with two leaders, one good and the other bad. I outline the neuronal processes that enable such a follower to function effectively in such contexts. In Chapter 7, I discuss virtuous followership. I present a typology of follower virtues

and capacities. These extensions buttress the nomological network of strategic followership. In Chapter 8, I conclude the book but discussing managerial implications with regard to restorative, transcendent, neuro-, and virtuous followership. I outline various ways by which managers can facilitate strategic behaviors that maximize the strategic value created by followers.

Theoretical Perspectives of Strategic Behavior

The diversity and frequency of major organizational problems lead some scholars to consider organizations as “ailing” institutions that need some cure. The problems tend to drive organizations toward failure. When the problems are resolved, the organization is “healed.” Followers have been implicated in both “ailing” and “healing” conditions of organizations. As I discuss in this chapter, followers can contribute to restoring or advancing the states of organizations. Those contributions are strategic. Followers contribute strategically to organizations through their restorative and transcendent behaviors (more on these in Chapter 3). Briefly, restorative behaviors are corrective actions; they have a curative effect. Transcendent behaviors are uncommon positive behaviors that arise from followers’ normative standards. Unlike restorative behaviors, transcendent behaviors focus on flourishing outcomes. They generate extraordinary outcomes that advance organizations. Together they shape organizational outcomes. As I mentioned in the introduction and discuss in greater detail in Chapters 4 and 5, both restorative and transcendent behaviors contribute to organizational effectiveness by influencing strategic outcomes. Thus, they constitute two major forms of strategic behavior.

Strategic behavior has diverse meanings because it has been examined by multiple disciplines. One of the business dictionaries defines strategic behavior as “conscious behavior arising among a small number of competitors or players, in a situation where all are aware of their conflicting interests and interdependence of their decisions.”¹ This definition derives from economics. It focuses on the rationality perspective. However, there are three major problems with the definition. First, it emphasizes a competitive environment. Followers do not compete with leaders in the relationship. Second, the definition emphasizes conflicting interests. Even

though followers and leaders can have conflicting interests, those interests usually are at variance with the process or outcome but not both. The business definition suggests that the parties have not only conflicting outcomes in terms of quantity and quality but also conflicting processes (how to achieve the outcomes) because they are self-interested. The followership literature suggests that effective followers are not self-interested; they are relationship and/or organization oriented. Third, the economic definition seems to focus on groups. Of course, two parties constitute a small group or dyad but they are not competitors. Nevertheless, the definition suggests that strategic behavior manifests during interactions among individuals in much the same way that followers interact with leaders. For these reasons, the economic definition of strategic behavior does not seem appropriate.

What of definitions from sociology, economics, psychology, and management, all of which have studied interactions of individuals? They suggest that followers interact strategically with leaders in noncompetitive contexts. A comprehensive view of strategic followership requires consideration of the strategic interactions of individuals from those disciplines. The perspectives of those disciplines serve as the foundation to understanding strategic followership.

Sociology

Strategic behavior in sociology has a broad and long background. It is often framed within the sociology of organized action, also called strategic analysis. Strategic analysis traditionally focuses on organizations and how they function and control resources and environment *given* their dependencies on those resources and environment. It also distinguishes a static approach of strategic analysis from a dynamic approach. In the latter, organizations, as actors or active agents, manipulate the resources and environment, resulting in functional and structural changes of the social system. Specific or concrete actions of the actors are analyzed based on concrete action systems, which conceptually allows for the study of a firm, university, or local political system that is composed of diverse differentiated actors interacting in a nontrivial way among each other. Thus, a concrete action system serves as an interaction context that precisely delimits in a way that provides the means and motivates the cooperation among a group of social actors. Whether, how, when, and why an actor responds to another is a function of the *means* and *motivations*. Sociologically, a means refers to resources, which encompass psychological, social, physical, financial, and relational. Motivations range from personal to collective and covary in

structured relational contexts. They affect how actors interact with one another and define the dependencies, capacities, and “gameness” of the actors.² An actor who is dependent on another subordinates his/her wishes, interests, and goals to the latter. That asymmetric relationship requires different relational behaviors. The capacities of the subordinate may be used in a different way (e.g., to restore balance to the relationship or to advance the relationship while reducing the dependency). The subordinate’s gameness may thus depend on the specific behavior. Its endurance will be higher in restorative behavior (i.e., behavior to restore balance to the relationship) than adjustment behavior (behavior to adjust dependency). Each actor’s behavior is therefore neither totally conditioned by the rules or norms constraining him/her, nor is it by pure motivations (including emotions). The behavior is strategic, in the sense that it includes actions that aim at realizing some objectives, be it conscious or unconscious. That objective may be threefold: self oriented, other oriented, or relationship oriented. Beyond the achievement of both his or her own objectives and those given by the relationship’s formal rules, each actor aims, as a meta-objective, at having enough influence to be able to preserve or decrease his or her dependence and acting capacity within the relationship. In that case, strategic organization analysis focuses on regulation that ensures both the evolution of relational systems and enduring stability. Strategic organization analysis assumes that each actor behaves strategically although it has only bounded rationality capabilities.

In addition to the static orientation described above, strategic organization analysis adopts a dynamic orientation, which distinguishes strategic behavior’s structural component from its functional component. First, the structural component refers to the constitutive elements and their relations. How the actors relate to one another relative to the resources and the stakes is determined by the actors themselves and relations between them. The structure centers on the relational system. Consequently, it enables assessment of the degree to which strategic behavior contributes to (1) building the organization, (2) establishing social game rules, and (3) acting on the resources, the relations, constraints, and stakes. With regard to resources, an actor may introduce a new resource that strengthens the relationship and his/her position based on his/her capacities, introduce a new relation based on a resource that he/she is yet to master, or neutralize the possibility of another actor controlling a relation (e.g., giving free open access to the resource or conversely to make it definitely inaccessible no matter the circumstances). Further, an actor may transform a resource in such a way that some effects of the function(s) can be modified. These strategic behaviors center on the resource subcomponent of the structural dimension.

Second, strategic behaviors may focus on the constraints (i.e., the payoffs of relations). Here an actor decreases the severity for a relation he or she controls by enlarging the effective space of choice or reinforces the severity of constraints applied to a relation controlled by the other party. Third, strategic behaviors may focus on the stakes. An actor may move his/her own stakes to reinforce his/her autonomy, or may influence other actors in the distribution of their stakes. All these behaviors relate to the structure, not the functional component, of the relationship. The functional component refers to what corresponds to the relationship state, which changes as a function of the goals to be achieved. The functional dimension centers on the system state. The actor seeks to ensure the regular operation of the system as well as its synchronized evolution. The regular operation of the system enables the actor to achieve his/her immediate objectives. The functional dimension of an actor's activity is based on the prevailing rules of the game, without regard to potential changes in the mission and objectives (i.e., the stakes) or the means for action (i.e., the relations and the associated constraints). Just as an actor's strategic behavior can be directed at the structural component, his/her behavior can also be directed at the functional component. By definition, functional strategic behavior seeks to exert control on a mastered relation (e.g., manipulating the payoffs value attributed to other parties, while staying inside the limits imposed by the constraints of the relation). To the extent that the manipulation is absolute, it can modify the payoffs value without care to the current value. It is relative if it regularly increases or decreases the payoff value.

Another sociological theory that emphasizes strategic behavior is *rational choice theory* (RCT). RCT is based on the idea that all action is fundamentally "rational" in character and that people calculate the likely costs and benefits of any action before deciding what to do. Its application to social interaction takes the form of exchange theory.³ What distinguishes RCT from other rationality-based theories is that it focuses exclusively or purely on rational and calculative actions. Scholars of this view argue that all social action is rationally motivated (i.e., instrumental action), however much it may appear to be nonrational or irrational.⁴

Fundamental to all forms of RCT is the assumption that complex social phenomena can be explained in terms of the rudimentary individual actions of which they are composed. Explaining social institutions and social change thus explains how they arise as a result of the action and interaction of individuals. RCT scholars extend the same general principles of economic theory—production, distribution, and consumption of goods and services through money and the market mechanism—to understand interactions in which such resources as time, information, approval, and prestige are involved. Consequently, they argue that individuals are

motivated by the wants or goals that express their “preferences” and act within specific constraints, and on the basis of information they have about the conditions or situations undergirding their actions. At its simplest, the relationship between preferences and constraints is expressed purely in technical terms of the relationship of a *means* to an *end*. Because it is not possible for individuals to achieve all of their wants, they have to make choices in relation to both their goals and the means for attaining those goals. RCT thus holds that individuals have to anticipate the outcomes of alternative courses of action and calculate that which will be best for them. Based on the calculative process, rational individuals choose the alternative that maximizes or optimizes their greatest satisfaction. In other words, they are motivated by the pursuit of a “profitable” balance of rewards over costs. The various actions of an individual—opportunity set—vary in their costs and rewards, but in most cases, they involve a combination of monetary and nonmonetary rewards and costs. The rewards received from opposing an unethical leader, for example, might include the intrinsic satisfactions that can be gained from doing the right thing in the eyes of the individual, peers, and society in general. The attained social approval represents value.

Economics

The central tenets of economics—scarcity of resources, choice, and utility or outcome maximization—undergird strategic behavior. Strategic behavior in economics is principally examined through game theory, the study of models of conflict and cooperation between intelligent rational decision-makers. Otherwise termed the study of strategic decision-making or strategic interactions, game theory originated in economics but has been studied in political science and psychology as well as logic and biology. It addresses strategy directly and consistently by examining questions related to *how*, *when*, *why*, *where*, and *who* decides.

Without the mathematical ascriptions, game theory simply looks at how individuals (and groups) relate with other individuals whose choices interact with theirs. The interaction of choices as a result of the relationship has an effect on the cognitive, affective, and behavioral response of individuals. Because individuals and the relationships they develop with others are unique, how they behave varies from situation to situation. Situations that require strategic responses are strategic. Game theory specifies how individuals should react, given their preference sets, to maximize the desired outcomes in such situations. It also explains why an individual behaves in a certain way. For example, why does a lead sailboat imitate the behavior of a follower when the follower is clearly pursuing a poor strategy? In sailboat

racing, winning is the only thing that matters, and doing so will enable the lead sailboat to win the race. In other words, strategic behavior manifests in situations involving choice and dilemmas. Situations that involve choice for individual good over group good are sometimes called social dilemmas. They may differ from, but, often, are similar to, strategic dilemmas, perplexing situations that require a choice between equally undesirable alternatives (i.e., strategic decisions).

Strategic situations that present dilemmas and require choices are not limited to specific domains or contexts; they are in business, politics, sports, and everyday life. Strategic situations also manifest in offices, organizations, communities, countries, and regions. In the office, for example, the relations of a supervisor with her 15 subordinates sometimes involve dilemmas that require strategic response. The dilemmatic situations of organizations also represent context in which strategic behavior is expected. However, that strategic behavior may extend beyond the individual to include the group or organization. In other words, the particular individual may be expected to act in a way that maximizes the outcomes of the organization instead. In short, strategic behavior is ubiquitous. It has been with us since the period when humans began to interact with one another. And it will continue to be with us for the foreseeable future. As a result, everyone can be a target or actor of strategic behavior. Leaders may encounter strategic and social dilemmas related to followers. In this book, the focus is on the obverse: followers encountering followership dilemmas (i.e., dilemmas that call upon the follower to choose how to enact the followership role).

Each strategic situation calls for a different strategic move, and an action that changes the social interaction to ensure a better outcome for the player taking the action. Typical moves include commitment, threat, and promise. Commitment, for example, creates a *fait accompli* that obliges the other party to respond (usually to benefit the mover). It represents an unconditional initial move. It differs from threat and promise, which are conditional second moves. A threat is a response that hurts the other party at some cost to oneself if the person threatened fails to comply with one's demand. For example, a supervisor may threaten a subordinate about overtime work and bonus denial so as to achieve compliance with a task. In other words, a threat obliges a subordinate negatively (if you do what I don't want you to do) and positively (if you don't do what I want you to do). A promise, on the other hand, is a response that rewards the other party at some cost to oneself if she complies with one's demand. For example, a CEO may promise a director promotion if she achieves a certain deal. However, the promise obliges the respondent (i.e., subordinate in our example) in a different way. For example, the CEO might say to the director

“if you do miss the deal, I will create a new division that you will head.” The obverse—“if you increase our performance by 5% over last year”—is possible.

Both threats and promises have deterrence and compelling effects. To deter a subordinate through threat, a supervisor might say “If you negotiate on the amount we cannot afford, then I may deduct 15% of your bonus.” The implication in this case is that the subordinate will be hurt by the bonus and the supervisor will be hurt by the strained relations with the subordinate. A compelling effect occurs when the supervisor obliges a subordinate to do something. For example, the supervisor might say “if you do not stay till 7 p.m. [which is 2 hours beyond the closing time of 5 p.m.] I will not grant you a merit pay increase.” Obviously the subordinate will be hurt by her inability to get merit pay increase just as the supervisor will be hurt by the strained relation or ill reputation. In the case of promises, the subordinate will be rewarded but conditioned on execution of desired behavior or non-execution of desired task.

Strategic moves are applied within specific strategic situations. Three major situations applicable to followership include bargaining, brinkmanship, and incentives. Bargaining is a situation in which opposing parties try to reach an agreement about a conflicting issue because the parties prefer that option to inaction and believe that there will be compromise in the process in order to create value for them to claim. Effective bargaining requires that the bargainers recognize the knowledge and beliefs of the parties in the bargaining; interdependencies of the bargainers; goals and flexibility of the parties; decision-making abilities of the parties; the context of the bargaining process; and the culture. The cognitions (e.g., knowledge structures), emotions, competencies, experiences, and attitudes of negotiation parties affect the bargaining process and outcomes. These factors are secondary. In negotiation, the primary factor is the bargainers’ best alternative to a negotiated agreement or best alternative to no agreement. It is the best that a party can get if he/she is not able to reach an agreement with the other party in the bargaining. Because best alternatives to negotiated agreements function as minima, they represent opportunities for the parties, particularly when they are variable. Strategic bargainers who observe that better outside opportunities can translate into increased proportion of the bargain are likely to adopt strategic moves that improve their outside opportunities. The significance of the outside opportunity is likely to increase if the party looks at it *relative* to that of the other party. For example, if the other party’s opportunity or best alternative to a negotiated agreement is lower, the bargainer’s commitment and threats are likely to be different. That will result in a different behavior.

In brinksmanship, one party pushes the other to the "brink" or edge of what that party is willing to accommodate. It is a technique in which one party adopts aggressive tactics in his/her pursuit of a set of terms ostensibly to the point at which the other party in the negotiation must either agree or halt negotiations. Related to followership, a leader can pursue a follower aggressively to the point that the follower either consents to his/her demands or exits the relationship. In the context of this book, a strategic follower may demonstrate brinksmanship only when it yields positive value particularly for the relationship or the organization.

Incentives are inducements that cause an individual to alter his/her behavior. In the social sciences, incentives or more generally rewards, are believed to be fundamental drivers of human behavior. They are intrinsic (i.e., originating from the individual) or extrinsic (originating from external sources). They manifest in pecuniary and non-pecuniary terms. Both forms are efficacious in their influence. However, their effects vary as a function of individual attributes such as age, socio-economic status, religious background, gender, etc. Related to followership, extrinsic incentive situations may cause a follower to yield to the influence of bad leadership. In contrast, intrinsic incentive situations may drive a follower to yield to good leadership or to oppose bad leadership influence.

The economic theory of social interaction focuses on the influence of social norms and activities on personal utility. It shows social influences on price of a good or service, and how social norms shape preferences. The utility individuals derive (i.e., consumption) is based not only on rational addiction but also on social addiction. Individuals who are concerned about social norms and influences prefer socially constrained services. They tend to ignore rational demands in favor of social demands. For example, instead of supporting an unethical leader whose misappropriation behavior will maximize the economic returns of the person, a follower concerned with social norms would either refuse to participate in such behavior or even report that behavior to organizational authorities. In that respect, consumption is a means to oil the wheels of social interaction. Demand is socially determined and therefore higher when the social norms are strong. The economic theory of social interaction assumes that individuals are deeply influenced in choices and economic behaviors by the social environment. However, as integral members of particular groups, class, neighborhood, or city (i.e., social environment), they can also influence the environment. Thus, the relationship between individuals and the environment is symmetric. The link between individuals and social groups is also typically symmetric. While basic economic theory focuses primarily on individual preferences and their consequences on choices, economic theory of social interaction is concerned with identities and the way those

identities influence choices: implicit questions such as *with whom the individuals interact* and *how social interactions influence their choices*. The latter question contrasts with the traditional economic view, which only asks *what individuals prefer*. The question of how social interaction influences choice suggests that individuals can alter their choices due to social interaction. That alteration occurs particularly when there is a major goal to be achieved. In other words, it leads to strategic behavior. Strategic behavior here centers on development of plans as a result of the set of alternatives upon which the choice is based and strategies to achieve the goal.

Psychology

Two major theoretical frameworks that bear on strategic behavior include *self-regulation* and *cognition*. Psychology deals with the psyche or mental processes behind behavior. As a result, psychological studies of strategic behavior tend to focus on cognition or knowledge structures of individuals and groups. Otherwise termed mental models or cognitive maps, knowledge structures are representations of reality that people use to understand specific phenomena. They relate to task, environment, relationships, and situations. Otherwise termed mental models, they enable people to make inferences and predictions, to understand physical and social phenomena, to decide what action they will take, and to control the execution of those actions. In other words, they determine how individuals experience events or situations. With regard to social interactions, mental models aid in the simplification of complex situations to particular and relevant phenomena. They determine the degree to which individuals envision or visualize the structure of relationships. Indeed, the construction of analogies to help identify the structure of future interactions with the help of the known or present structure, and the simulation of the relational system's processes also depend on mental models.

When these mental models are shared or collective as in a group or dyadic context, they are referred to as shared mental models. As shared representations, they can focus on tasks, equipment, working relationships, and situations. In addition, declarative (knowledge of what), procedural (knowledge of how), and strategic (knowledge of the context and application) knowledge are represented. Similar to individual mental models, shared mental models fulfill multiple purposes, including description, prediction, and explanation, and are determined by environmental, organizational, group, and individual factors.

Both individual and shared mental models therefore are cognitive instruments that can enable followers to respond to strategic situations.

The restorative behavior of followers emerges from the representations, individual or shared, of the strategic situation. The behavior arises because the follower's cognitive map of the situation indicates how he/she should respond. Of course, the follower may be wrong.⁵ Mental models are depictions of the human tendency: they can be wrong or right. Regardless, they affect the responses of followers to strategic situations. They can impact group performance through group processes and enable members to formulate accurate task work and teamwork predictions. In social interactions, shared mental models yield strategic knowledge, which centers on essential information flows and communication channels. Otherwise termed strategic cognition, mental models focus on the cognitive drivers of strategic behavior.

Self-regulation is based on the socio-cognitive perspective of psychology. It is often used interchangeably with self-control and refers to planned self-generated thoughts, feelings, and actions that are cyclically adapted to the achievement of personal goals. There are diverse frameworks of self-regulation. The triadic model of self-regulation identifies three types of self-regulation that results from the interaction of personal, behavioral, and environmental processes: behavioral self-regulation involves observing and strategically adjusting performance processes while environmental self-regulation involves observing and adjusting environmental conditions or outcomes. Covert self-regulation also involves monitoring and adjusting cognitive and affective states. These forms of self-regulation are oriented toward proactive increases in performance discrepancies even though they can also be used reactively. Self-regulatory processes include forethought where an individual contemplates *what* action to take and *how* to take that action; performance or motoric efforts that affect attention; and self-reflection, a form of self-rumination whereby the individual reflects on the experienced action. Through forethought the individual analyzes the specific task and determines the level of self-motivation. Performance encompasses self-control and self-observation processes, while self-reflection includes self-judgment and self-reaction.

The social characteristics of self-regulation suggest that experiences, knowledge, and skills related to effective response to strategic situations are acquired. The more social interactions a person encounters, the greater and complex the self-regulatory skill she is likely to develop, and the more likely the person is to respond effectively in strategic situations. It follows that individuals with fewer social interactions are likely to have rudimentary skills while those with more and diverse interactions are likely to have advanced or complex skills. The foundation (Level 1) skill, observation, manifests vicariously when individuals watch a proficient model learn or perform. The intermediate (Level 2) skill, emulation, occurs when

a person's imitative performance approaches the general strategic form of the proficient model. It is generative. The advanced (Level 3) skill occurs when the individual masters the use of a regulatory skill in a structured context outside the purview of the proficient model. The expert (Level 4) skill is achieved when the individual systematically adapts her performance to dynamic personal and contextual situations. The person is able to vary task strategies and make adjustments based on outcomes. These diverse skill levels suggest a variation in response to strategic situations. Self-regulation therefore suggests how individuals control their thoughts, emotional reactions, and behaviors in social interactions. It is fundamentally strategic in that it enables individuals to respond to social situations in different and goal-consistent ways.

Management

Two major theories in management relate to strategic behavior: strategic choice and bargaining theory. They are macro- and micro-level theories, respectively. Strategic choice theory, which first originated around the 1960s and focuses on the relationship between firm strategy and structure, has been popularized by the work of John Child in the sociology of organizations, who argues that strategic choice focuses not only on the relationship between the organizational design and structure, and strategy, but also on the environment in which the organization is operating. Strategic choice refers to "the process whereby power-holders within organizations decide upon courses of strategic action."⁶ It draws attention to the active role of leading groups that have the power to influence the structures of their organizations through an essentially *political* process. Thus, opportunities in any environment that could potentially be exploited by any actor are critically dependent on the power that is exercised by the major decision-makers because of their influence in providing and allocating resources.

Although most work in the area of strategic choice uses the firm as the frame of reference, the appropriate frame of reference is the work organization's constituents range from small to large groups that interact to achieve a goal. Indeed, it has been applied to groups because decisions about strategic choice occur when groups within organizations have discretion over their decisions, and constraints in the environment do not severely restrict the groups' choice of alternatives. Strategic choice can also be applied to individuals for a number of reasons. First, strategic choice theory emphasizes how individuals' (i.e., executives') decisions about how to respond to external conditions are a key performance determinant. It is the choices of

individual executives, as leaders, that determine organizational outcomes. Organizations are not so constrained by inertia because executives can recognize and identify inflexion points in the organization-environment relationship, and they can make choices based on the strategies (environmental and organizational) they have devised for the organization. The capacity of executives to make choices suggests that the environment-organization relationship has multiple equilibriums—one cause has a limited number of potential effects from which it is assumed they can choose. Second, the components of strategic choice theory—environmental dynamics, agency, action, and effectiveness (i.e., design in facilitating achievement of goals)—apply to individuals in much the same way as they apply to groups and organizations. Individuals, as agents of some course, engage in actions that are designed to enable achievement of some goals and in response to changes in the social environment. The person-environment relationship is as potent a factor as the organization-environment relationship, which served as the basis of strategic choice theory. Indeed, there is empirical evidence of strategic choice theory's relevance at the individual level. As I discuss in the subsequent chapters, the dynamics of choice in strategic followership seem similar to those in organizations.

At the micro level, bargaining theory deals with strategic behavior of individuals during interpersonal exchanges. Interpersonal exchanges are forms of negotiation and therefore encompass strategic situations and involve strategic behavior. The strategic behavior of the parties is often appraised from the strategy development process of negotiation, which involves a series of steps, the first of which is analysis of the imminent negotiation environment, constituents, resources, and advantages of the negotiators. The second stage focuses on specification of the direction of the negotiation. Given that negotiation is like Earth with so many "latitudes and longitudes," one can select the particular latitude and longitude to get the desired goal. The formulation of strategies (third step) is important for opening, exchange, closing, and evaluation of the negotiation. The fourth stage involves implementation of the strategies. The application of the devised strategies to the negotiation processes indicates the strategic behavior of the party. The strategic behavior also manifests during the evaluation stage when the party assesses the degree to which his/her goals were achieved. Evaluation enables the individual to learn from the situation.

Bargaining theory proposes that the parties in a negotiation sometimes exhibit strategic behavior, particularly when the power dynamics are not balanced. The overall outcome of the strategy process is actual strategies that can be used in negotiation. Sometimes, the major approaches of negotiation—distributive and integrative—are presented as two strategies. Prior to negotiation, the parties have to decide what strategy to use when

confronted with the issues. One way is to think of the relationship they may want to have with the other party. Relationships are important during and after the negotiation; they determine how the exchange proceeds and how it is sustained after the negotiation. The level of involvement and commitment as well as information exchange all depend on the relationship between the parties. Sometimes a party decides to have a relationship with another party only *during* the negotiation but not afterward. There are compelling and valid reasons for that concern. Otherwise termed spot transaction relationships, they are useful when the degree of interdependence is only limited to the immediate negotiation. When the possibility of future contact with the other party is unlikely, there is no need to focus on future relationship. Other times, a party may prefer a relationship that endures *after* the negotiation. This concern seems appropriate when there is a high degree of interdependence between the parties, there is prior history of a relationship, and a future relationship is desirable. When an individual perceives that a relationship beyond the current negotiation is very probable, he/she is more likely to be flexible, considerate, and empathetic. The behaviors (e.g., amount and extent of free, open communication with the other party) tend to be strategic (linked to expected goals).

Besides relationship concern, the outcome to be attained from the negotiation is important. Negotiating parties expect different outcomes. However, the importance of a good outcome, a need to win on all issues to gain an advantage, and the significance of the outcome may nevertheless be the same for the parties. Depending on the significance and importance of the outcome, one party may behave in a particular way during negotiation. For example, he may withhold information if that would enable her to gain an outcome deemed important. Negotiator's behaviors therefore differ according to the importance of the outcome.

When relationship and outcome concerns are combined, five strategies emerge: *avoiding*, *accommodating*, *competing*, *compromising*, and *collaborating*. Avoiding strategy refers to the tendency to ignore issues when an outcome and future relationship is not important. It is used when the party is able to meet his/her needs (outcomes and relationships) without negotiation. Accommodating strategy, which is used when the relationship is more important than the outcome, arises from one party's desire to sacrifice his/her interest for that of the other. In the competing strategy, the substantive outcome is deemed more important than the relationship between the parties. As a result, a party competes to gain more of the outcome. Parties who compete often have a short-term focus on the relationship and tend to be hostile. Compromise is a midstream strategy that is used when the parties are constrained by maximum collaboration but

propelled by achievement of outcome goals or relationship maintenance. Sometimes, it emerges from the confluence of time pressure and the desire to resolve an issue speedily. In this strategy, each party sacrifices a little in order to reach a common ground. In other words, the parties sacrifice by settling on an agreement that is “good enough.” Finally, the collaborating strategy involves a focus on both substantive outcome and relationship that benefits both parties. The parties seek to create rather than claim more value. It tends to focus on relationships beyond the negotiation session.

Bargaining generally has multiple issues or dimensions. So, one may adopt a single-issue or multiple-issues strategy. A single-issue strategy focuses on one issue after another. For example, in a procurement negotiation, you may opt to finish discussing the price before going on to consider the delivery. It is used when the issues are simple and clear or there has been amply prior preparation and understanding of the issues. A multiple-issues strategy, on the other hand, tends to be used when the issues are complex and prior preparation has not been given to the issues. In addition, it is used when the exchange involves at least two issues. For example, in a procurement negotiation, some issues to be negotiated include cost, delivery date, product quality, transportation, payment terms, and options to both parties.

The use of single-issue or multiple-issues strategy depends on the number of parties. Sometimes there are three or more parties, and they interact with single-issue and multiple-issues strategies to create different situations. Some negotiation scholars call the situation involving single-issue strategy and two parties as a zero-sum outcome where one party wins the issue and the other loses. When the multiple-issues strategy interacts with two parties, the situation is one of efficient outcomes, where the least cost is incurred for the most value. The negotiators may have common interests in some issues and can trade off on others to achieve efficient settlement outcomes (i.e., both parties gain). A third type of negotiation situation is one that involves the interaction of three or more parties and one issue. This is an *auction*, where multiple buyers bid on the item (i.e., issue). The publicity and multiplicity of actors make auctions complex and riskier. The last situation involves a multiple-issues strategy and three or more parties. This is like a group negotiation where a consensus or resorting to individual best alternative to negotiated agreements seem to be the only ways to satisfy everyone.

Bargaining tactics are either major or minor. Five major tactics include intimidation, aggression, posturing, bluffing, and concealment of real interests. One characteristic of these tactics is the degree to which force is involved. They are laden with domination intentions. As a result, they tend to be used mostly in distributive negotiations, where one party seeks

to gain maximum benefits at the expense of the other. Intimidation, the introduction of emotional and behavioral tendencies, makes one party to cower and give in to the demands of the intimidator. Feigning anger and increasing the appearances of legitimacy and guilt are ways that intimidate a party. Similar to intimidation tactics, aggressive tactics are behaviors that push the aggressor's position or attack the opponent's position. Typical tactics observed in negotiation include relentlessly pushing for concessions, asking for best offers early in the bargaining exchange, seeking explanation and justifications for proposals, asking for final position early in the exchange, and offering a take-or-leave offer without careful consideration of the other party's offer.

Posturing, dramatic representations (e.g., emotional outbursts, name-calling, finger-pointing, etc.) by one side of its perception of the issues, positions, facts, and affect toward the other side, is used to allow parties to release tension, save face with respect to external constituents who have strong vested interests (e.g., union members, business partners, spouses, neighbors, friends, etc.), and intimidate the other party. Sometimes, posturing is successful in achieving its intended purpose. For example, in labor negotiations, union members have been observed to use posturing successfully by getting management negotiators to give in to union demands. Bluffing is a false representation that is embodied in threats and promises. Threats pressure a party. However, when used in a bluffing context, the party does not actually intend to go through on the threat. For example, if a party threatens that he/she will quit negotiation but continues to sit at the bargaining table, he/she is bluffing; the threat is not effected by the continued presence at the negotiation table.

Lastly, parties often conceal their real interests as a way of maximizing their potential outcomes. During negotiation parties are expected to be fully open and truthful in the exchange. However, sometimes, they show partial open truths in the exchange. This is because they want to conceal their real objectives and interests. By concealing their objectives, parties limit the chance of settling for less than anticipated because the other party cannot offer counterproposals that may reduce the final offer. However, as a deceptive tactic, concealment of interest slows down the negotiation progress since one party will be negotiating in the 'dark.' It also limits the possibility of the parties developing a good relationship. Whether a party will conceal its interest or not depends on trust; if one party does not trust the other party to be truthful as a reciprocal gesture, he/she is likely to conceal his/her objectives.

In sum, bargaining theory is another lens by which we can understand the strategic behavior of followers. In the follower-leader exchange, the follower interacts strategically by engaging in restorative and transcendent

behaviors. Those behaviors contribute to the overall objectives of the organization in the case of subordinate-supervisor exchanges. The follower's strategies facilitate effective response to the situations he/she encounters.

Integrative Model

The theoretical perspectives present different but significant aspects of strategic behavior, the basis for strategic followership. While the psychological perspective focuses on the cognitive aspects of strategic behavior, the sociological perspectives focus on the context and structure of relationships. The economic perspective focuses on the options available to individuals. The management theories provide perspective on choices in strategic behavior. The attributes of these perspectives are summarized in the integrative model of strategic behavior shown in figure 1.1

The integrated model suggests that strategic interaction comprises of action, choice, decisions, and attributes of followers, leaders, and situations. The model is deterministic for empirical reasons. However, I recognize that strategic followership is dynamic in much the same way that strategic action is dynamic. The model also suggests that personal attributes of followers and leaders can affect strategic choice directly (broken arrows) but that ignores decision-making, a major element in the strategic action model. First, the theories emphasize action or behavior. Strategic behavior refers to deliberative actions in social situations where the actors face conflicting interests and interdependence of decisions. Social situations may be competitive or cooperative. Deliberative actions are either static or dynamic and range from negative through

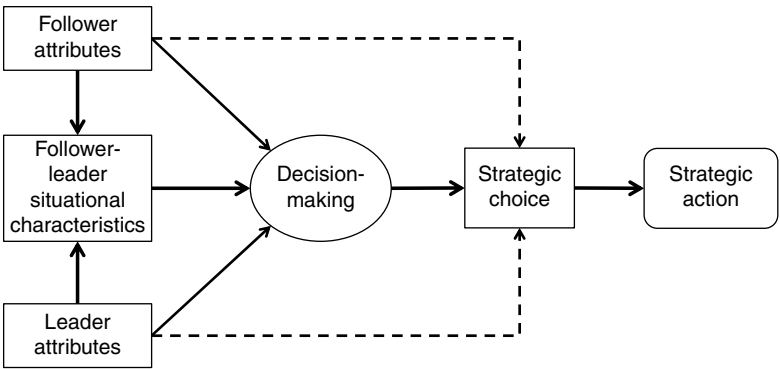


Figure 1.1 Integrated model of strategic followership

neutral to positive. Given that negative actions have kernels of positivity within them (individuals and organizations can learn from negative behaviors), strategic behavior can be viewed as actions that contribute fulfillment. By fulfillment I mean actions that enhance the worth or value of the person, other, or both or even some external significant entity (e.g., organization). In that regard, strategic behavior ranges from preventive or problem-solving behaviors through neutral to transcendent behaviors. Each of these determines the value of strategic followership to leaders and organizations.

Second, the theories show that strategic behavior is preceded by choice. Individuals have a number of options and are driven to choose one or more options. While some choices are sequential as suggested by game theory, others are static as proposed by rational choice theory. Termed strategic choice, the selection is intended to fulfill a specific goal or strategy. Strategic choices arise from the decisions individuals make in strategic interactions (see figure 1.1). In addition, decision-making in strategic interaction involves forming plans to relate in a specific way. Embedded in those plans are sets of options and choices for the individual. Two major determinants influence those decisions. Individual or personal factors such as capabilities, motivations, and obligations affect the decision-making. Situational characteristics such as resources, relations, and demands also affect the decision-making. The richness (enabling attributes) of a situation as well as the nature of the relationship that emerges from the encounter influence the plans that evolve from the interaction. I elaborate on these next.

Action. Action refers to what is done. Until the act is manifested one does not know whether it will be done or not. One type of action of interest in this book is strategic actions. Broadly, these are actions that fulfill specific strategies. As a unit, strategic action arises from rational action, action of an "outcome-oriented" kind in which certain requirements are met regarding the nature of, and the relations among, actors' goals, their beliefs, and the course of action in a given circumstance. Beliefs are relevant to the pursuit of those goals and the course of action, which can be constrained by circumstances. Actors refer to employees, managers, and executives. In a generic case they include any follower. Action is therefore an interactive composite of goals, beliefs, and courses. The goals of actors or followers are self oriented, leader oriented, relationship oriented, and organization oriented. The degree to which one type of goal is subordinated or superordinated to another depends on the particular beliefs of the follower. The beliefs of the person vis-à-vis the situation, leader, and organization affect the course of action followed. For example, a follower's beliefs about the ability of a bad

leader to help advance her career is likely to comply with the unethical demands of that leader. The course of action, compliance, arises from the belief about the leader's ability to enable her achieve her goal, career advancement.

There are diverse forms of strategic action. Detailed discussion of the forms of strategic behavior will be in Chapter 3. In this section, I focus on the dimensions of strategic behavior. First, strategic action could be *person centered* (self oriented versus other oriented). An individual may thus take action that is oriented to affect the self or the other person. The other includes the organization, to which the follower is integrally linked. In the context of followership, an action is strategic if it affects the follower, leader, and/or organization. Second, strategic action could also be *solution centered* (restorative versus transcendent). Restorative actions are intended to generate solutions through resolution of problems. They may also be prevention and promotive. By generating solutions, the behavior facilitates the achievement of a significant goal. The third dimension is *agency* (passive versus active). Strategic action based on agency focuses on the degree to which an individual actively seeks to affect the situation he/she is facing. A follower will either acquiesce to pressure from constituents or attempt to manipulate them. A fourth dimension of strategic action is *openness* (covert or overt). Strategic action that is overt manifests in a different way from one that is covert. One factor driving this form of strategic action is the severity of consequences. Strategic action is opaque if consequences on the individual or other party are severe. Fifth, strategic action is gauged by the level of *influence* (weak or strong). Influence is defined here in relative terms to mean the extent to which one party (A) has the ability to alter the behavior of the other party (B). Relative influence is weak or strong depending on the individual but both affect strategic action. The sixth dimension, *acceptance*, ranges from compliance to resistance. The extent to which a person (i.e., follower) will accept the urgings or prods of another person (i.e., leader) determines the strategic action of that person.

Strategic action is therefore a system that has to be effectively managed. The diversity of strategic actions suggests that an individual has a number of options from which to choose. Choice is important to the individual mainly because it affects the goals of that person. It is also important as a management mechanism.

Choice. A number of theories—strategic choice, rational action, strategic cognition—explicitly embed choice in their propositions. For others, however, choice is implicit. For example, in shared cognition, choice manifests when strategic knowledge is the center of attention. Nevertheless, choice refers to the process of selecting an option as a course of action.

This definition focuses on behavior. However, a choice can also be made with regard to cognition and affect. With regard to cognition, the choice centers on the selection of a mental model. Mental models are profuse, and individuals always choose those that can fulfill their goals. Choice is a natural process of human activity. However, in the context of strategic behavior, it is the outcome of the choice that matters. Strategy that is self centered seeks to fulfill the goals espoused, desired, or enacted by the individual whether those goals are oriented toward that person or others. Whether the goals are good or bad is not the concern here; that comes in subsequent chapters. What is emphasized here is that the choice made leads to an outcome, be it good or bad. As suggested by game theory, one choice may lead to another choice, which in turn may lead to a third choice. As shown in figure 1.2, the path of choice A, compliance, leads to a positive outcome, career advancement, while the path of choice D, resistance, leads to a negative outcome, career destruction. Figure 1.2 also shows that an individual choosing to comply with bad influence may gain, a sequential path that emerges from compliance. It is also possible the person may lose. The probability of gaining (i.e., career advancement—A) is expressed as $f(\pi \times \alpha)$ while that of losing (i.e., career destruction—D) is expressed as $f(\pi \times (1 - \alpha))$. It is possible that the same outcome can

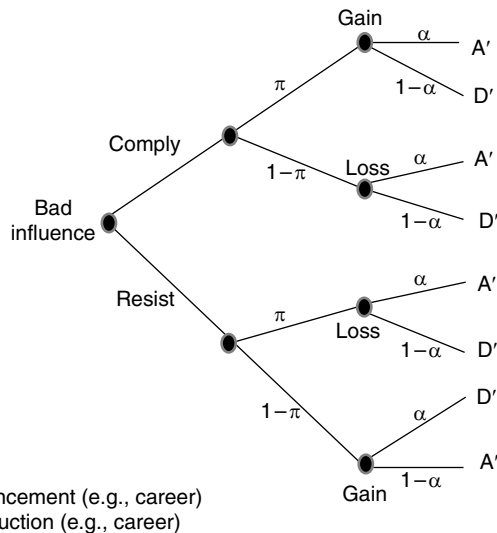


Figure 1.2 Decision tree of strategic action

emerge from different choices. The centrality of choice therefore heightens the significance of decisions in strategic situations.

Decisions. Decision-making is part of most human endeavors. It is particularly significant in strategic situations because of the role of strategy in the actions. Operative behaviors, that is, behaviors that are centered on operational activities, differ from strategic behaviors because the latter focus on strategic activities. It is strategic decisions that are of interest in this book. A strategic decision refers to the plan an individual devises to achieve a goal related to a strategic situation, wherein a strategic situation refers to a context or condition in which an individual has to choose an optimal response. The theoretical perspectives I reviewed above indicate that individuals or groups often encounter situations where they have to decide how to respond. That is because situations are pressure laden and have a variety of responses and associated consequences. The individual therefore has to decide how to respond. Strategic decisions are particularly important in situations where relationship, value, and resilience are important. These three characteristics are major dimensions of social dynamics. Indeed, almost all the theoretical perspectives discussed above centralize decision-making. For example, rational action theory requires individuals and groups to decide on resources, outcomes, and implementation. Game theory also expects actors to make decisions related to outcomes and time. The nature and types of decisions therefore affect the choices and subsequent actions of individuals in strategic situations.

Attributes: The theoretical perspectives show that decisions, choices, and actions of individuals are influenced by a number of factors. Broadly, they include situational and personal, factors. Personal factors encompass the characteristics of followers and leaders. Follower and leader characteristics include psychological (e.g., motivations), demographic (e.g., experience), and economic (e.g., purposes) orientations. They not only influence each other but jointly influence the follower-leader interaction interface or situations. The state and dynamics of that situation primarily depends on both the follower and leader. Of course, the characteristics of the organization can also affect the situation. Another characteristic is the society in which strategic followership takes place. How these factors influence strategic followership will be discussed in subsequent chapters. They will be discussed with respect to states and dynamics of action (i.e., action tendencies or active impulse to do something).⁷ The integrative model therefore serves as the foundation to strategic followership. The interactions involving followers and leaders are strategic and therefore are affected by the attributes, decisions, choices, and behaviors of followers (see Chapter 2).

Summary

This chapter provides a theoretical foundation of strategic followership. Strategic followership can be studied by economists, sociologists, psychologists, and organization scholars using unique or integrative theoretical lenses. The integrative model shows the major elements of strategic followership: strategic action, choice, decision-making, and attributes of the follower-leader interface. They shape strategic followership and its outcomes.

Followership

Origins

Followership is as old as creation; since the beginning of time people have followed one another. Even the study of followership has been done since ancient times. In the Roman Empire, we observed followers of Julius Caesar as loyal sometimes and disloyal at other times. While some stuck with him through thick and thin, others conspired to kill him. Further, the depth and breadth of scholarship on followership varies by disciplines. While history and political science scholars have examined followers to understand kingdoms, empires, and reigns, psychologists have examined followers to understand the psyche of individuals who are subject to influence, particularly bad influence. Since the 1920s, psychoanalysts and psychologists have examined the link between followers and leaders. Anthropologists have examined the influence of cultural and anthropological factors that affect individuals as followers while sociologists have emphasized the social class distinction between followers and leaders.

In management the study of followership in comparison to leadership has been slow. Even though scholars examined followers early on, it was only around the late twentieth century that the active study of followers began. The beginning of the twenty-first century saw heightened interest and growth of followership studies resulting in typologies of followers (see section “Types of followers”).

Paradigm

There are various ways by which scholars view followership. The way they view followership is otherwise termed a paradigm. It is the accepted or modeled way of viewing, relating, and generating outcomes within a community of practitioners. The traditional view of followership is that

followers are unequal to or subordinated to leaders. In the traditional organization, managers, as representatives of owners, pay for the services of followers and therefore have control over them. Managers and supervisors are given authority and power that enable them to determine, based on compliance, outcomes or consequences for followers. Some scholars, however, argue that followers have been viewed as equal but only implicitly. Scholars espousing the equality perspective consider followership and leadership as interdependent, a view also acknowledged by those of the inequality perspective except in a different form. Scholars of the latter perspective acknowledge the equality of followers and leaders but emphasize that it is embedded within each role and not across roles. I subscribe to the equality paradigm and argue that viewing followers and leaders as equal does not in any way diminish or deprive each of its function. As a role, followership has certain functions that are uniquely distinct and different from, but interlinked with, those of leadership. The differences in the old and new paradigms are summarized in table 2.1.

With regard to the dimensions of followership, the old view emphasizes vertical structures, implicit follower roles, authority as a basis of compliance, and economic expectations. It also relies on the labor contract as a basis for maintaining order through a coercive mechanism and a logic of instrumentality. Because it is oriented toward problem resolution, the basis of legitimacy is legal sanctions. In contrast, the new view of followership emphasizes horizontal relationship structures and makes follower roles explicit. The basis of compliance is contribution or value creation. Followers' expectations are psychological because of the

Table 2.1 Equality paradigm

<i>Dimensions</i>	<i>Equality paradigm</i>	
	<i>Old</i>	<i>New</i>
Structure	Vertical	Horizontal
Follower role	Implicit	Explicit
Basis of compliance	Authority	Contribution
Expectations	Economic	Psychological
Basis of order	Labor contract	Relational contract
Mechanism	Coercive	Normative
Logic	Instrumentality	Generativity
Orientation	Problem-solving	Transcendence
Basis of legitimacy	Legally sanctioned	Morally sanctioned

greater reliance on a relational contract. The basis for maintaining order is normative through a generativity mechanism. It is oriented toward transcendence and moral sanctions. How followership is described, explained, and predicted by both views is therefore different.

Even though the primary focus of both views has been ensuring equality and reducing disparities between followers and leaders, the structures, processes, and outcomes are different. Through eliminating inequalities, the new paradigm ensures equal participation by followers, who may otherwise perceive social and economic disadvantages. The paradigmatic differences have resulted in diverse definitions.

Definition

The traditional view of a follower is one who, through submissive and yielding processes, facilitates goal achievement. A more contemporary view is that of followers as active agents who, through social construction processes with leaders, facilitate mutual goal attainment. As a result, followership has been defined as a state (the acceptance of influence from another person or persons without feeling coerced and toward what is perceived to be a common purpose), a process, as well as a capacity (a follower shares in influence of others with the intent to support leaders who reflect their mutual purposes). Integrating all those perspectives, I define followership as the process by which an individual, based on shared interdependence, enactively influences others in a way that yields shared value to the relationship.

Three characteristics of this definition are worth highlighting. First, followership is *enactive* in that the individual acts out a role that he or she assumes given the situation. Second, followership is a process, which suggests that it involves a series of steps. Third, followership yields value. The value perspective emphasizes the contribution of the follower. Given that value has diverse perspectives, orientations, and levels, the significant point is that the value is positive psychologically, socially, economically, and organizationally. It is also important to note that by shared-ness, I mean value that affects not only the internal actors (i.e., follower and leader) but also external actors such as supervisors and organizations. More broadly, followership value should be dispersed in the relational network (the set of actors that are affected by the relationship between a follower and leader). A follower may act in a way that does not benefit either her or the leader but positively affects the organization or department. This “sacrificial” outcome emerges out of the relationship. Value can therefore be restorative, such as helping to resolve a problem or restore a relationship to its original

positive state. It can also be promotive, such as advancing a course that directly benefits the leader or organization but may not affect the follower.

Process

The definitional characteristics highlighted above indicate that followership is sometimes regarded as a state and other times as a process. A follower and a leader share a relationship space. It is within that space that each enacts his/her role. A leader seeking to induce the compliance of a follower initiates an influence that activates the followership role. Role activation triggers attention whereby the follower concentrates cognitive resources for the purpose of understanding the influence desired, as well as the process and capabilities to respond. Based on role orientation, some scholars suggest that followership functions in three ways: interactive role, where the interaction between leader and follower is based on cooperation and mutual influence rather than obedience; followership as independent role, where the follower acts more independently of the leader; and followership as a shifting role, where the follower alternates between leading and following. A follower has to determine which orientation to adopt in response to an inducement.

Role activation also drives role appraisal. The individual evaluates her role vis-à-vis the desired influence. Effective followers optimize on the appraisal by examining, to the best of their cognitive capacities, the drivers, conditions, and outcomes of the role. Ineffective followers tend to satisfice by merely focusing on one or two areas (e.g., drivers). As I discuss in subsequent chapters, strategic followers also evaluate their role relative to the compliance behavior desired. Those who are transcendent followers not only assess how to minimize or eliminate problems but also how to advance the relationship. They explore mechanisms for uplifting the relationship even if their response is expected to be negative. In other words, they seek ways to create value in the relationship. In contrast, restorative followers focus on resolving problem(s) created by the leader. After appraising her role, the individual then generates a series of response options. As in role appraisal, effective and strategic followers generate diverse options that may range from low to high value. They may also appraise the consequences so as to choose the one with few negative effects. The quality and quantity of options are equally important because of the concern for maximizing contribution to the relationship. Once the responses are generated, the follower makes a choice. Choice or selection is based on the potential of each response option to maximize the value of the relationship. A number of consequential errors can be made. As a result, strategic followers

Table 2.2 Errors in Followers' Choices

<i>Type</i>	<i>Kind of Error</i>	<i>Description</i>	<i>Example</i>
I	First kind	<i>False positive</i> Acting in a way that leads to the wrong value creation	Incorrectly attributing a leader's inducement as unethical
II	Second kind	<i>False negative</i> Acting in a way that does not lead to right value creation	The invalid dismissal of the good compliance behavior sought by a leader
III	Third kind	<i>Answering the wrong question</i> Providing solutions to the wrong value creation	Working with a minority will make me a better supervisor
IV	Fourth kind	<i>Asking the wrong question</i> Voicing concerns about wrong value creation	Why am I, a foreigner, the leader of this local subsidiary?

strive for choices that are not suboptimal, primarily because they seek to maximize the "pie."

Based on value creation, four types of errors are important considerations for strategic followership (see table 2.2). The first error, error of the first kind, is a false positive. It refers to making the wrong choice for the right inducement condition. More formally, it refers to the rejection of a true condition. If the inducement condition is right or appropriate (i.e., true) and a follower makes the wrong choice (i.e., reject it), she commits an error by rejecting the condition that is true. This error occurs because the conclusion that is made is faulty or based on bad evidence, misinterpreted evidence, or an error in analysis, or due to any number of factors. The error is symptomatic of excess idealism or accepting too many new ideas. The error of the second kind, otherwise termed false negative, is made when a follower's choice is to accept a wrong inducement condition. A follower who decides that an inducement condition is bad when in fact it is good endorses the wrong thing. Similar to the story of the wolf and the boy, a follower commits an error of the second kind when the leader's inducement is ignored as bad. The invalid dismissal of the good compliance behavior sought leads to diminished value. It is symptomatic of excess cynicism or rejecting too many new ideas.

While the first- and second-kind errors focus on choice, the third- and fourth-kind errors focus on the response to inducement. Inducement is a condition that is initiated by the leader. Framed as an issue or question, the condition may be appropriate or clear. It could also be inappropriate or unclear. If the follower makes a wrong choice on the issue, she commits a third-kind error. Also if the follower makes a faulty or unsubstantiated assumption and chooses to respond to an inducement in a particular way instead of the required way, she makes a third-kind error. The response chosen is not what is sought by the leader. A follower commits a third-kind error every time she answers a leader's request for a desired behavior with a response that is unsolicited. She is ignoring and skipping the precedent question, which is the desired behavior. One typical example of this error is a subordinate's answer to a supervisor's question about what practice is best to improve productivity. The subordinate will give an answer and recommend a particular best practice, and perhaps the duration of the practice. The follower is ignoring and skipping the precedent question, which is whether the best practice in question will improve productivity at all.¹ Third-kind errors are usually committed innocently and with good intentions.

Fourth-kind errors, however, are often for devious reasons. They center on asking the wrong questions; they often suggest a deliberate deception. They are strategic. By selecting the wrong question to investigate, it is possible for a follower to have greater control over the results. Selecting the wrong question is a great way of diverting attention away from the right question. The diversion may be to minimize the consequences associated with compliance or resistance. Imagine for a moment that a follower knows that she has to produce a program that yields positive results. She also knows that the department is not going to get those results with the resources it has. So instead, she frames the program around asking the wrong questions to the supervisor or leader: Can we get some job rotations? By structuring the issue around the wrong questions, she deliberately commits a fourth-kind error in order to produce the desired answers. Job rotation can easily be achieved and used as a positive outcome for the department. The diversion emerges from choice deliberation. It may be chosen when none of the options is optimal.

Types of Followers

Generally most people can identify different types of followers; they can distinguish those who are loyal and committed from those who are sleazy or slothful. Since the industrial revolution, when the relationship between

labor and employers depended on contribution, a number of typologies that are based on the workplace have emerged consistent with the prevailing paradigms. One paradigm considered organizations as “sick or unhealthy” such that management scholarship had to identify ways of “curing the sickness.” Typologies of followers were therefore based on the contribution of employees toward this curative mentality. These are the old paradigm typologies. They differ from the new paradigm typologies that are based on organizations as “healthy” such that management scholars have to identify ways of promoting the well-being and advancement of organizations. Even though I focus on organizational views of followers, it must be noted that philosophers talk of “costly followers,” “factious followers,” “glorious followers,” and “dangerous followers.”² These types of followers have variously been captured in the various typologies discussed in the following.

Old paradigm typologies

Recent studies of followership have resulted in different typologies of followers. First, some scholars classify followers by the degree to which they submit to others and the level of passivity. Based on these two dimensions, followers can be one of the following: impulsive subordinates, compulsive subordinates, masochistic subordinates, and withdrawn subordinates. Impulsive subordinates tend to rebel and challenge people in authority. As research on courageous followership has shown, such individuals can be constructive at times. Compulsive subordinates seek to dominate but do so in a more passive way. Masochistic subordinates do not shy away from the pain of authority; they would rather be under the control and assertiveness of authority than be on their own. Hard as it might seem, they tend to attract criticism by their deliberate underperformance. Withdrawn subordinates tend to be alienated from work and authority; they demonstrate disengagement and do not trust individuals of influence or authority. A careful reading of the above types of followers suggests that the typology focuses on dysfunctional, rather than functional, subordinates.

A second typology that focuses on functionality classifies subordinates by the level of engagement. Engaged employees tend to be viewed as exemplary in that they demonstrate “intelligence, independence, courage, and a strong sense of ethics.” Using the degree of independence in critical thinking and level of activity in groups, followers can be alienated, passive, conformist, pragmatist, or exemplary. Alienated followers tend to think freely and critically because they score high on independent thinking

but they avoid group activities. Passive followers score high on dependence, which means they rely on leaders for thought guidance. They therefore require constant supervision. Conformists also score high on dependence but are active in group activities. Their low level of independence suggests that they willingly accept orders from leaders. They tend to be diagonal opposites of alienated followers. Pragmatic followers are in the middle; they score moderately on independence and activity. They occasionally criticize the leader's decisions.

A third way of distinguishing followers is by style. Organizations can develop followers by the degree to which the follower (a) provides support to and (b) challenges the leader. Those who provide high support and high challenge are deemed partners because they fully support the leader and are ready and willing to challenge the leader. Followers who provide high support but do not challenge the leader are implementers. These tend to be the most common in organizations. The third type is individualists, who provide low support but high challenge to leaders. Because they do not readily offer support to leaders, they tend to be marginalized. Followers who provide low support and low challenge to leaders are resources that the leader can use because they do an honest day's work for a few days' pay but do not go beyond the minimum expected of them. The problem is that in this era of hypercompetition, organizations tend to prefer individuals who will go above and beyond. As a result, they are likely not to be viewed as "resources" partly due to the fact that they provide only the minimum rather than the maximum effort.

Followers are also classified by the degree to which they are effective (i.e., contributing to achievement of the goals of the relationship). One way is for an individual to develop courage, particularly in situations of bad leadership influence. Courageous followers are able to constructively challenge bad leaders. Of course, the ability to be successful (i.e., not get fired after the challenge) depends on the contribution of the follower. Employees who are exemplary are likely to be retained, promoted, or put in central positions despite their criticism or challenge of bad leaders. Another way is for a follower to acquire personal and interpersonal competencies such as ability to learn from experiences, curiousness, networking, emotional skills, and self- and situational awareness. These competencies enable a follower to assist a leader in making the relationship better.

Besides competencies, followers are classified according to the level of engagement: followers who feel or do absolutely nothing differ from those who are passionately committed and deeply involved in their relationship with leaders. In between are other types of followers. According to this classification, followers may be isolates, bystanders, participants, activists, or diehards. Isolates are detached from the relationship and leader. The

alienation suggests that they do not strive to grow the relationship; rather they leave that to the leaders.. Bystanders also do not participate even though they are relatively active in terms of observation or awareness of the dynamics of the relationship. Their disengagement is deliberate and a resignation to the status quo. Further up the engagement chain are participants. Participants either favor their leaders and organizations or oppose them. They seek to have an impact in a positive or negative way. Activists tend to demonstrate greater passion toward their leaders and organizations than the previous three. They tend to be more eager, energetic, and engaged. The engagement, however, can be to assist or undermine the leader because it is out of self-interest. The last type, diehards, are followers who sacrifice a lot for their cause, be that cause an idea, individual, or outcome. They show a greater sense of devotion and may even abdicate their positions of influence, power, and authority, if need be. The sense of dedication is evident in their volition to undertake precarious tasks for the leader or organization.

The way followers are perceived is the basis for the 4-D followership typology. It classifies followers on how employees view themselves within the workforce. In other words, it focuses on not just how followers feel about their current positions, but how they express their appropriate and habitual behavior patterns within their respective organizations and positions. Using productivity and job satisfaction as two extremes of one dimension and turnover as a second dimension, four types of followers are identified: the author identifies disciples, doers, disengaged followers, and disgruntled followers (4-Ds). Disciples believe they are in the right place at the right time while doers demonstrate good work ethic but are pessimistic about their relationship with leaders. Disengaged followers are not interested in their jobs and have no desire to improve. Disgruntled followers are angry and ready to jump ship. Both disengaged and disgruntled followers are on the low end of productivity and job satisfaction while disciples and doers are on the high end. The latter, along with disgruntled followers, are on the high end of turnover. At the low end of turnover are disengaged followers and disciples. Disciples focus on serving others' needs while doers focus on serving their own needs. Disengaged followers passively react to stress in contrast to disgruntled followers, who react actively to stress.

In sum, there are various types of followers in organizations. Even though empirical validations of some of the typologies are lacking, they nonetheless show that followers are not monolithic; there are great variations in the way individuals respond to inducements from leaders. This variation is evident in the new paradigm typologies discussed in the next subsection.

New paradigm typologies

Management scholarship is currently experiencing a new paradigm termed positive organizational scholarship (POS). Since 2003, when a group of scholars at the University of Michigan published a book on POS, the culmination of a series of meetings preceding the publication, research based on that paradigm has increased tremendously across management domains. The increase of positivity in the social sciences is certainly not due to only those scholars; psychology scholars were progenitors with their emphasis on positive psychology. The rapid growth of positivity across the social sciences might be attributed to the focus of positive psychology and POS.

POS

focuses on the generative (that is, life-building, capability-enhancing, capacity-creating) dynamics in organizations that contribute to human strengths and virtues, resilience and healing, vitality and thriving, and the cultivation of extraordinary states in individuals, groups and organizations. POS is premised on the belief that enabling human excellence in organizations unlocks latent potential and reveals hidden possibilities in people and systems that can benefit both human and organizational welfare.

(Dutton, Glynn, and Spreitzer, 2006, p. 1)

The central tenet of the new paradigm is therefore flourishing contributions. It seeks to understand and advance knowledge on how employees contribute value to organizations. But, one might ask: Was that not the focus of management prior to that paradigm? Value can be created in a number of ways beginning with resolving problems, the curative mentality preceding POS (i.e., preventive orientation), to the uplifting (i.e., promotive) mentality of POS. This integrative view of value creation is adopted in this book. As discussed in the following, there are two major typologies based on the new paradigm.

Virtuous followership. Using the virtue theory that was applied to leadership, some scholars propose virtuous followership. Consistent with followership as role enactment, they define virtuous followership as the process by which a follower, in enacting his/her role, demonstrates traits of strength and internalized normative dispositions that facilitate excellence in the relationship with a leader. Virtuous followership focuses on the positive aspects of followership, adopts a righteous, but nonreligious perspective, emphasizes a collective purpose, and focuses on dutifulness or responsibilities. Virtuous followership represents conditions of flourishing and vitality, and is associated with meaningful purpose, or whatever leads to healthy, happy, resilient relationships. Based on the role locus (or relationship

boundary) and role demand (or relationship duty), the authors identify four types of follower role behaviors in which there is opportunity to excel: virtues of fiat, agentic virtues, civic virtues, and virtues of succor. This typology focuses on the degree of virtuousness and the relationship interface. Subordinates who are highly virtuous toward the follower-leader relationship behave differently from those who are less virtuous. I elaborate on these types in Chapter 7.

Strategic followership. The second typology of followers in the new paradigm focuses on value creation. It fits with the inducements-contributions model in organization theory.³ The paradigm centers on the contributions of employees in exchange for organizational rewards. The more contributions (i.e., value created) are made, the more rewards an employee achieves. Because value creation enhances the effectiveness of organizations, it also enhances the outcomes of the specific employee. To the extent that an employee creates more value for the organization, she also achieves increased outcomes. Employees are therefore encouraged to maximize value creation.

Extended to strategic followership, a follower maximizes the value of the relationship by “expanding the pie.” Based on Pareto efficiency frontier theorizing, she and the “other” (leader in a dyadic relationship or group in the case of teams and organization for the macro system) gain. The Pareto frontier is the frontier that maximizes the value to the follower and the leader or organization; it is the boundary beyond which no further improvements can be made. In other words, it is the most or quantitative best that the follower can contribute. Figure 2.1 illustrates that frontier and the value creation dynamic.

Given that the relationship interface is a function of the contribution of both the follower and leader, the efficiency frontier is constructed from the joint or combined ordinal contribution (ranking) of both parties. Positions below (u and v) and above (w and x) the frontier are inefficient (see solid curve in figure 2.1). With regard to those below the frontier, the parties are not maximizing their contributions. For those above the frontier, it may be too costly for the parties to achieve those ones given the same circumstances or resources. However, they can, through creative manipulation, push the frontier from the current one (solid curve) to the new level (i.e., w and x—broken curve).

Focusing on the solid curve and the region below that, we can observe a number of things: (1) three regions, (2) increasing greater levels, and (3) initial point. If we consider the initial point as the minimum-value points of the parties, any contributions above that are better and therefore satisfactory. Thus, Region I exceeds the parties’ minimum value. However, because strategic followership focuses on creating value, additional value

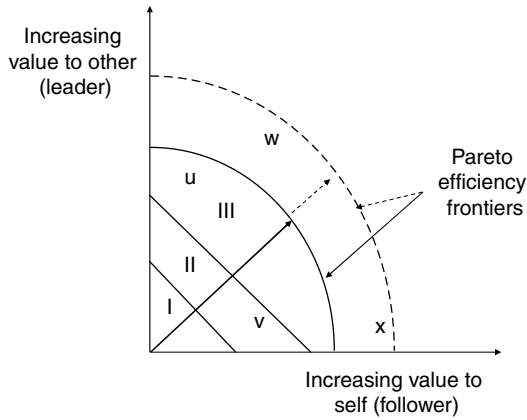


Figure 2.1 Pareto efficiency frontier in the context of strategic followership

can be created for both parties. Region II is higher than Region I and therefore represents a superior contribution. Relative to the minimum point, both regions are better but they are not the best; maximum value can be created for both parties as shown in Region III, which is the Pareto efficiency frontier. The degree of value creation thus serves as a basis for determining the type of followers. Those who maximize joint value are better followers than those who minimize joint value. Before identifying the types of followers, it is important to define what value is, because the contribution of a follower will depend on the type of value.

From an evaluative perspective, value could be objective, as measured in the amount of sales a subordinate generates, or subjective, as in the perceived worth of an employee's potential. Value can also be economic (including financial, marketing, and accounting), social, or psychological (including behaviors, affect, and cognitive). Given that value creation is defined from a collectivistic orientation in this book, the issue of individual value is not significant. Another issue of importance with regard to value is the perspective. Is value determined by the follower or leader (organization) or some independent source? Within organizations this question and the previous ones are important because of the consequences to employees. If value is not appropriately defined, employees may perceive unfairness, which undermines the major goal of strategic followership: harnessing the potential of subordinates to maximize organizational productivity. If the process by which value is determined is perceived as fair, it is likely to motivate resource mobilization; subordinates would persuade peers to support the system or program. On the other hand, if it is perceived as

unfair, alienation, demobilization, and toxicity may emerge to undermine value creation. In this book, economic, social, and psychological values are applicable to strategic followership. Subordinates create objective value if they implement instructions of supervisors to sell in specific markets that generate significant profits. Different followers can therefore be identified based on the value of their strategic actions. They include restorative (see Chapter 4), transcendent (Chapter 5), and virtuous (Chapter 7) followers.

Antecedents of Followership

A number of factors that influence followership have been identified. Characteristics of the follower and leader are primary factors. The values, motivation, personality, and capabilities of the follower and leader affect how they interact with one another. However, those are not the only factors. The characteristics of the relational context (e.g., dynamics of the relationship) also affect the followership process. Unlike the individual-level factors, the relational factors center on the dyadic level. In addition, characteristics of the organizational context such as culture, strategy, and structure affect how followers interact with leaders.

Followership operates within organizations. As a result, it is affected by characteristics of the organization. Three major characteristics are structure, culture, and strategy. The organizational structure refers to the pattern of reporting relationships. It defines authority, power, and accountability within the organization. A simple structure involves a superior being endowed with power and authority but also held accountable for her ability to influence a subordinate. More complex structures involve not only multiple subordinates but also multiple vertical (and sometimes) lateral reporting relationships. Further, the reporting relationships within the entire organization, through social influence or vicarious processes, affect one another. Those reporting relationships in turn affect followership structures, the network of reporting relationships in the followership role.

Followership structures are illustrated in figure 2.2 (A–D). In simple structures, a single subordinate yields to the influence of a supervisor (A) or multiple subordinates yield to one supervisor (B). They represent the traditional vertical dyadic relationships between followers and leaders. More complex followership structures involve a supervisor reporting to a superior (C). In (D) the relationships are more complex. A supervisor not only reports to a superior but also other peers, and other peers as well as subordinates report to her. There are vertical and lateral influences in such structures. Thus, supervisors in complex structures have dynamic relationships that involve sometimes influencing subordinates and peers

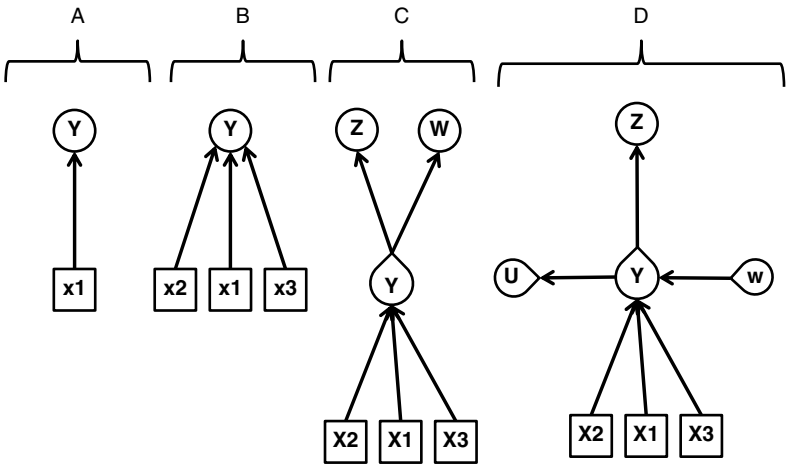


Figure 2.2 Structures of followership

and other times being influenced by superiors and peers. The complex structures tend to be associated with organizations that are large, have matrix configurations, and/or are virtual.

The second organizational characteristic is culture. The influence of culture on the individual's attitudes, behaviors, and cognitions is recognized in the social sciences. Culture refers to the beliefs, values, and behavioral norms that are shared by organizational members. They affect not only the cognitive inputs but also attitudinal and behavioral outputs of followers. For example, organizations with egalitarian cultures are likely to emphasize equality in the relationship between followers and leaders because of the belief in shared responsibility and equal status. Instead of vertical structures, such organizations will emphasize lateral followership structures. Followers' value creation in such organizations is likely to be higher. Similarly, in constructive cultures, organizations are likely to expect followers to create greater value. Participative behaviors and attitudes as well as cognitions are expected to be more positive and uplifting.

The third characteristic, strategy, affects followership because of its unique emphasis on value creation. Unlike culture and structure that get at value through enabling environments, strategy directly focuses on achieving outcomes that impact organizational effectiveness. Strategic management, as a domain, highlights the role of strategy in organizational effectiveness. Studies in that domain have consistently shown that the strategy of an organization affects operations, processes, and behaviors in

the organization. Organizations emphasizing differentiation or innovation therefore expect followers to contribute value by offering ideas that enable them to achieve that goal. For example, a subordinate who knows how a process can be improved is expected to share that information with her supervisor.

Characteristics of the follower-leader relationship also affect how followership functions. The first characteristic is governance. Governance specifies the mechanisms that define the roles and responsibility of the follower and leader and the conditions that ensure its effective functioning. It includes the guiding psychological dispositions of both the follower and leader, each of whom are implicitly agreeing to the accepting (e.g., need for the relationship) and terminating (e.g., withdrawal from the relationship) conditions. A major governance mechanism that influences followership concerns the norms of the relationship. Symbolic interactionism and modes of social interaction demonstrate that the active interaction between individuals relies on symbols, meaningful information, and social norms that help to define the context and nature of the relationship. Social norms are the regulative mechanisms most relevant to the leader-follower relationship; they specify the standards or rules of acceptable behavior. For example, social norms inhibit followers from overtly challenging their leaders or damaging the relationship, which indirectly may encourage the follower's value creation behavior.

A second factor is relationship structure. By structure, I mean the system of representational roles between the parties. Like all relationships, structures involving leaders and followers are complex (see figure 2.2). Given the socially complex nature of leader-follower interactions, cognitive, affective, and behavioral information must be processed in a manner consistent with the relationship environment. A third factor is the dynamics of the relationship. Dynamics reflect the reality that relationships are characterized by varied experiences, uncertainties, and contrasts that pose difficulties, impairments, and are inherently negative relations. The complexity, dynamics, and dialectics mean follower-leader relationships can be peaceful one moment and conflicting the next. Contradictions within the relationship include connection-autonomy, predictability-novelty, and openness-closeness, which contrast with the external dialectics of inclusion-seclusion, conventionality-uniqueness, and revelation-concealment. Challenges, dynamics, and dialectics have the potential to affect followership; they can transform difficult interactions into benign and exciting ones. Further, followers' ability to display aretaic qualities enables the relationship to flourish; it also enables followers to overcome challenges via displays of cooperation. Given the centripetal-centrifugal dynamic that characterizes the contradiction process, one

polarity is likely to be perceived as unfulfilled at a given point in time, even if a follower fulfills the other polarity.

A fourth factor is relationship strength. The influence of situations on leadership and followership has been recognized by situational and contingency leadership theories as well as in studies of followership effectiveness. They suggest that situational strength drives responses of followers either directly or interactively. Strong situations, for example, provide very clear cues as to the appropriate behavior such that everyone construes it similarly; uniform expectancies are induced, incentives are perceived similarly, and all have the skills to perform in the situation. Weak situations, in contrast, are ambiguous with regard to what constitutes appropriate behavior such that there are variations in construction of the situation. Situational strength has the potential to enhance or nullify the contributions of followers. For example, a follower may need to confront an executive for inappropriate behavior, but if the confrontation is too late or too early, too harsh or too weak, the result may prove ineffective.

According to the value creation perspective adopted in this book, another major factor is competence of the leader. Competence influences followers through supportive, directive, charismatic, and transactional leadership behaviors. It has cognitive, affective, and behavioral dimensions. Cognitively, the technical and professional competences of leaders enable them to guide followers effectively in task execution. Emotional competence, which involves a configuration of empathic skills and strategic self-presentation of emotions that are perceived as genuine, stabilizes the relationship. It also models appropriate situational responses. Competence has a behavioral component that is crucial to the mutual influence that occurs in the follower-leader relationship dynamic.

Attitudes toward followership roles include satisfaction, commitment, identification, and engagement *per se*. Here the focus is on the latter, otherwise termed relational capacity. Theories of relationships in social psychology, management, and developmental psychology all suggest that individual behavior is influenced by the (in)ability of an individual to effectively participate in the relationship. Traditional leadership theories posit a hierarchical and elevated status for leaders, resulting in a top-down orientation that is sometimes ineffective. The ability of leaders to “come down” to the follower level is seen as facilitating leadership outcomes. This “coming down” is relational capacity, the ability of leaders to relate well at the level of a follower. It affects both internal (leader and follower) and external (significant others likely to be affected by the relationship) parties. Relational capacity is based on the relatedness-connection, disconnection, enmeshment, and parallelism dialectic, which induces different degrees of involvement and comfort. Leaders with relational capacity show

initiative in drawing in followers, demonstrate authenticity and responsibility toward the relationship, and consider follower interests. Besides facilitating access to resources, promoting stakeholder commitment, as well as enhancing satisfaction and involvement, relational capacity fosters the viability of long-term coalitions.

The leadership literature shows that leaders' actions toward followers occur on a task level and a relationship level. Relationship behaviors help followers feel comfortable with themselves, with each other, and with the situation, which enable the relationship to flourish and induces reciprocal behaviors from followers that potentially generate aretaic outcomes. When leaders behave badly, followers can help restore the relationship. Through activation, fusion, and inhibition processes, virtuous followers, for example, can buffer bad leadership behaviors. In addition to the above factors, the values, personality, and attitudes of leaders determine how followers respond to influence. They induce behavioral responses that may be congruent (because they fit with the goals of the follower) or incongruent (they do not align with the goals of the follower). They also affect the environment within which followership functions.

Just as the attributes of leaders influence followership, so too do the attributes of followers. The first attribute, cognitive capacity, relates to followers' creative or ingenious potential. Cognitive psychology and personality literatures show that cognitive capacity is a critical determinant of not only behavior but also character. Broadly, cognition refers to mental processes and includes beliefs, intelligence, awareness, perception, and self-appraisal, all of which affect character development and relational orientations. A follower's awareness for cues on the relationship context helps her to create value. That cognitive capability affects decisions concerning how and when to act strategically. Two classes of cognitions—personal visions and personal expectancies—are illustrative of the influence of cognitive capacities. A personal vision is a view of a person's ideal life; it is the ideal image of her future with regard to work and relationships. It includes the personal values guiding the person, of which followership vision is a part. It also encompasses the followership positions she expects to hold, achievements as a follower, how followership fits into the personal vision, and the level of excellence desired. Followership visions that include positive outcomes or excellence are likely to motivate followers to create value because they are the means to achieve ideal image.

A follower's expectations—beliefs concerning leader fairness in distributing rewards and punishments, creativity in problem-solving, and provision of guidance—influence her role. Expectations define the type of exchange likely to develop with the leader, and regulation of the follower, both of which influence value expectancies, and a follower's perceived

ability to behave in an excellent manner. A number of expectancy-based theories suggest that the likelihood of a follower creating value (e.g., virtuous behaviors) depends on expectations they hold regarding their roles, their beliefs concerning how to execute those roles, and the potential outcomes. A follower must believe in her ability to appropriately and meaningfully integrate virtue into her role, and the likelihood that she will continue to do so depends on the outcomes associated with her behavior, one of which is the relationship's impact.

A second attribute, affect, refers to a broad range of feelings that individuals experience including emotions (intense feelings directed at emotional objects), moods (less intense feelings that tend to be longer-lived and more diffuse), and attitudes (positive or negative orientations toward emotional objects). Affect is often categorized as positive or negative. A follower's affect influences his/her value creation through their appreciation of beauty and excellence. To the extent that she likes to excel, the follower may search, garner, and transform information and resources to generate valuable outcomes for the relationship and organization. A follower's affect thus induces virtues of succor, which are oriented toward supporting the relationship, or civic virtues, which facilitate excellence in relationship task execution.

A third attribute, motivation, the arousal and persistence in a goal-directed action, includes needs, and fairness. It could be extrinsic or intrinsic, and either self- or other oriented. Collective goals are objectives shared by two or more individuals; they sustain relationships through mutual desires and compatibility of motivations. Followers and leaders may be incompatible because they lack collective goals. Values, internalized social representations or moral beliefs that individuals appeal to as the ultimate rationale for their actions, is often viewed as a motivational mechanism. As with motivations, personal values can be differentiated from shared ones. As instrumental (modes of behavior—for example, honesty or helpfulness) or terminal (self-sufficient end states—for example, a comfortable life or wisdom) kinds, values orient followers more deeply into the relationship. A follower who shares the values of the leader behaves in a way that uplifts the relationship (e.g., support the collective good); she tends to view the effectiveness of the relationship as a shared responsibility.

A fourth attribute is experiences expand the self (e.g., working self-concept or relational self). The experiential self, evaluative reactions to discrete events or experiences, drives followers' cognitive and behavioral responses to influence. What followers learn from leaders has important implications for their relational excellence or value creation. A follower who feels a special fit in the relationship is likely to demonstrate behaviors

that sustain those experiences. Followers who experience joy and satisfaction in their relationship with leaders tend to engage in their role and demonstrate excellence in it.

Outcomes

All the followership studies show outcomes for followers, leaders, the relationship, and organization. First, followership enhances the leader's overall positive influence. It strengthens the leader efficacy beliefs. Efficacy beliefs affect whether individuals think in self-enhancing or self-debilitating ways, how well they motivate themselves and persevere in the face of difficulties, the quality of their well-being and their vulnerability to stress and depression, as well as the choices they make at important decision points. Since efficacy depends both on an individual's experience and vicarious learning, followership impacts leader efficacy vicariously. Ineffective leaders especially might be moved to strive for excellence in their relationship with followers because of the latter. Leaders also experience positive affectivity from followership (e.g., virtuous followership); they derive satisfaction from the experience of influencing a follower and delight the latter in facilitating their efficacy and performance. As a consequence, their enthusiasm for the relationship amplifies and/or buffers other negative tendencies such as stress. The increase in leader efficacy beliefs suggests that leader performance per se is enhanced by followership. A follower who accurately represents a leader's interest to other constituents and assists, however possible, with task execution facilitates the efficacy of the leader.

A second set of outcome center on followers. First, psychological ownership—the sense of ownership, trust through vulnerability, and transparency in a relationship—motivates followers. Psychological ownership leads to psychological capital, a vital resource for followers. Further, personal satisfaction results from the other-orientation of followership. Followers tend to develop increased job and organizational satisfaction from leaders' support. They also attract greater reputation, esteem, and regard for being sources of dependability. Good reputation yields enhanced opportunities. Another outcome is improved performance; followers tend to perform well because of the drive to excel in creating value. Further, individuals who seek excellence in others and in relationships potentially experience a boomerang effect; by behaving positively toward others, followers attract reciprocal excellence.

The third set of outcomes focus on the relationship. Psychological studies of relationship show that outcomes of relationship differ from those achieved by the parties in the relationship. In negotiation, outcomes to

individual parties may be achieved to the detriment of the relationship (e.g., zero-sum games). Similarly, outcomes to followership relationships differ from those achieved by the individual follower. First, the relationship can be invigorated. That occurs when the followership role is positive. In other words, the follower enacts behaviors that strengthen the relationship. Second, the relationship can be harmed, particularly when the follower does not show concern for it. To avoid the latter, a follower may have to sacrifice personal outcomes. Strategic followers are likely to subordinate their personal goals to that of the relationship so as to prevent harm befall it. Third, the cohesion between the leader and follower might increase which also may increase the level of satisfaction of both the follower and leader. The assumption of responsibility or increased participation so as to promote the relationship may result in feelings of psychological empowerment. Lastly, advancement of the relationship indirectly enhances the self-esteem of the strategic follower.

The last set of outcomes focuses on the whole organization. These more distal outcomes include climate, learning, and performance. The entire organization is influenced positively when value is created by employees. The virtuous behaviors of followers also contribute to affective and behavioral outcomes for organizations by minimizing deleterious effects such as downsizing. Follower satisfaction spreads to coworkers vicariously through amplification and contagion, thereby inducing a positive organizational climate. Followership also contributes to organizational learning.

Summary

In this chapter, I briefly reviewed the origins, processes, drivers, and outcomes of followership. Even though the literature on followership is small compared to that on leadership, researchers are beginning to make inroads. One type of followership that is critical to organizations is strategic followership. Organizations depend on followers to fulfill their strategic objectives. In the subsequent chapters, I elaborate on strategic followership.

Part II

Strategic Followership

Strategic Followership Framework

In this chapter I elaborate on strategic followership, which I briefly mentioned in the previous chapters. The Oxford Dictionaries¹ define strategy “as a plan of action designed to achieve a long-term or overall aim.” This is the modern meaning, which emphasizes the extent to which a person or organization overcomes challenges to achieve a goal.² According to the positive organizational scholarship literature, overcoming challenges to excel is otherwise termed transcendent behavior. This modern meaning evolved from stratagem, which etymologically derives from the Greek word *stratēgos*, meaning a scheme, especially one used to outwit an opponent or achieve an end. A careful reflection on the latter meaning suggests that strategy is unidimensional and focuses on problem resolution as in overcoming an enemy on one end and advancing or achieving an extraordinary outcome.

The concept of strategic followership therefore connotes two significant but divergent meanings in the organizational behavior literature. In one sense, it refers to the extent to which a follower envisions, maintains flexibility, and thinks strategically in interacting with a leader to initiate changes that will create a viable future for significant constituents. This view is consistent with the value creation paradigm. It is a bottom-up perspective, which contrasts with strategic leadership, the top-down perspective. It suggests that followers have as much value to contribute to the organization as executives at the top. When employees submit to the influence of executives by contributing to the fulfillment or achievement of the strategic objectives of the organization, they are behaving strategically. This is the positive view of strategic followership: the positive behaviors of employees enable the realization of the strategic objectives of the organization.

It contrasts with the negative view, which refers to the extent to which a follower adaptively responds to the negative influence of a leader out of subterfuge. The negative view is based on the old meaning of strategy, stratagem, and orients followers to resist consequential and usually bad or unethical leadership influences. It focuses on the response patterns of followers in the context of ineffectual leadership. For example, when a leader induces a follower to engage in unethical behavior, a moral but consequentially aware follower will attempt to resist the leader using one of several strategies (see Chapter 4). Both positive and negative views represent deviance from the norm, partly because the traditional view of followership does not include strategic contribution or strategic resistance. What then is deviance and how does it enhance understanding of strategic followership?

Deviance Theory

Strategic followership is a behavioral orientation. It constitutes a form of workplace behavior, which has been examined using deviance theory. Deviance has been examined from diverse social science disciplines including political science, anthropology, psychology, and organizational behavior but principally within sociology. In the latter, deviant behavior is a product of social construction that arises from social labeling, which suggests that it is functionally perceptual and not related to specific behaviors. Thus, one can be labeled as deviant and therefore detrimental to a group (e.g., criminals) or beneficial to society (e.g., moral entrepreneurs). Some sociologists tie deviance to specific behaviors that reflect dysfunctional aspects of society. Such sociologists consider deviance as arising from individual and societal goal difference. A society's expectations lead individuals to engage in deviant behaviors as a means of conforming to those expectations. The difference drives individuals to engage in negative (e.g., stealing money) and positive (e.g., helping the disadvantaged) deviant behaviors.

Using the sociological perspective, organizational scholars have applied deviance to understand the behavior of employees in organizations. Workplace deviance is a voluntary but norm-violating behavior that threatens the well-being of employees, that of the organization, or both. An alternative view of deviant behavior defines it as behavioral departures from the norms of a reference group. In some cases, researchers identified the behavior as socially or organizationally harmful (e.g., aggression, lying, theft, misbehavior, sabotage, political activity, and noncompliance to rules or norms) and in other instances they identified it as socially or organizationally beneficial (e.g., tempered radicalism, whistle-blowing,

exercising voice, and counter-role behavior). As a result, there is a typology of workplace deviance in which organizational behaviors could conform or deviate from normative expectations and could be constructive or destructive either at the reference group level (organizational standards) or as globally held beliefs and standards (hypernorms).³ Destructive deviance violates both reference group norms and hypernorms, and constructive deviance violates reference group norms but not hypernorms. On the other hand, constructive conformity violates neither set of norms, and destructive conformity violates hypernorms but not reference group norms.

Others developed a normative approach to the positive deviance construct by defining it as an honorable, voluntary departure from the norms of a referent group. They propose differences between positive deviance and related pro-social types of behaviors, including organizational citizenship, whistle-blowing, corporate social responsibility, and innovation. For example, they consider organizational citizenship behaviors and positive deviant behaviors as related, yet distinct. A firm bears few costs when organizational citizenship behaviors (OCBs) occur. However, it could bear potentially large costs when positive deviant behaviors occur due to the fact that such behaviors entail a drastic departure from organizational norms. This view is debatable.⁴ Positively deviant behavior should not and does not involve costs that are greater than those of OCBs; at least, the costs will be the same for both.

Strategic Followership

In recent years, the burgeoning organizational deviance literature has focused on classifying deviant behavior in terms of its effects—positive or negative, constructive or destructive, beneficial or dysfunctional—on employees, firms, and society. Strategic followership can also be viewed from the same lens for two major reasons. First, it is relational and therefore involves challenges similar to those observed in the deviance literature. In other words, strategic followership involves destructive and constructive states. Strategic followership may thus represent a continuum of compliance or resistance behaviors that range from contributing value that enables leaders and organizations to flourish on one end, to resolving problems of following leaders and organizations, particularly bad ones, on the other end. In the middle are response behaviors that maintain a relationship (see figure 3.1).⁵

At both ends of the continuum, strategic followers contribute value. At the positive end, followers do so through compliance behaviors (i.e.,

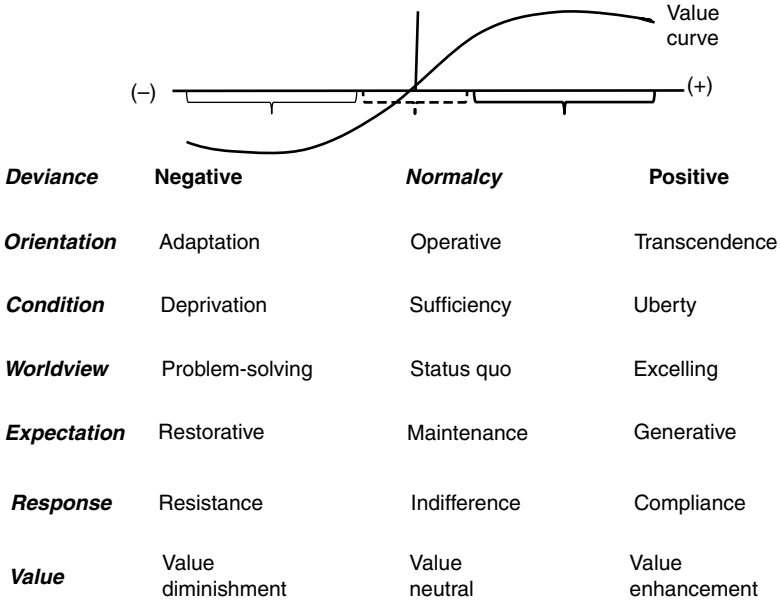


Figure 3.1 Strategic followership framework

positive deviance). At the negative end, they contribute value through resistance behaviors. In the short run, the resistance of followers may be disapproved, but in the long run, it is likely to be appreciated as benefiting some stakeholders. Similar to tempered radicalism, which opposes organizational initiatives because of some inherent depravity associated with those initiatives; strategic followers resist bad or ineffectual leaders because of the negative outcomes of, say, an immoral leader’s behavior on the organization. In that regard, negative deviance has some benefits. I do not focus on deviance that is destructive.⁶ I focus on constructive problem-solving behaviors. The actions of Sherron Watkins, Cynthia Cooper, and Coleen Rowley, who resisted the devious machinations of executives of their respective organizations, resolved ethical problems that, albeit inconsequential, helped introduce “sanity” to the corporate system. In naming them Persons of the Year, *Time* magazine observed that “They took huge professional and personal risks to blow the whistle on what went wrong at WorldCom, Enron and the FBI—and in so doing helped remind us what American courage and American values are all about.”⁷

Negative strategic followership is an adaptation mechanism. It is oriented toward ineffectual leadership situations that present dialectics. There

is the dialectic of resolving or evading the problem in ineffectual leadership situations. For example, when a follower encounters immorality, does she resist, evade, or endorse that immorality? Employees, as loyal followers, are supposed to be subject to the influence of leaders even though doing so sometimes contravenes personal, organizational, and social principles and norms. Complying with leadership influence may also yield detrimental consequences for a multitude of stakeholders including the parties directly involved in the immediate situation. As a result, followers have to strategically respond to the influence of leaders. Followership, like leadership, is therefore not easy. Just as leaders have to jostle with hard choices about effective ways of influencing followers, the latter have to also make hard choices about succumbing to the influence of the former. That requires strategic response.

Second, there is the dialectic of facilitating or inhibiting performance. Followers are expected to contribute to organizational effectiveness by making decisions and enacting behaviors that enable organizational relationships (including those with leaders) and systems to flourish. Just as leaders are expected to transform their organizations through top-down processes, followers are expected to transform their organizations through bottom-up processes. In other words, they are expected to behave transcendently. This transcendental perspective suggests that followers are expected to contribute to the achievement of the strategic objectives of the organization.

The continuum depicts three perspectives of strategic followership—transcendent, normalcy, and adaptation—which fit the meanings of the term “strategic.” In the middle (normalcy state), the organization or leader is not stressed. Nonetheless, it represents the status quo, a state that also has some strategic value. I term it operative strategic followership because it maintains the relationship on an even keel.

Operative followership

Relationships have to be maintained. In the follower-leader interface, the maintenance behaviors of followers enable the relationship to operate normally. It is a state of balance. The environmental context is one that is defined by normalcy. When there is uncertainty, unpredictability, a crisis, or instability, the perturbation disorients the strategies, systems, and processes of the organization. As a result, order or stability is a major outcome in this state. The projection of future states and the ability to accurately determine what that future state will be depend on the extent to which the current state of affairs is the same as that future state. To use a metaphor, if

the road conditions are smooth (no accidents, rain, snow, wind, tornado, hurricane, etc.), then a driver can compute that she will arrive in New York from Washington, DC, in three hours, assuming a speed of 70 miles per hour. That is what order does to relationships and organizations. It provides conditions that facilitate development and execution of systems and processes and thereby affect effective functioning of organizations. A state of normalcy is therefore the default position.

Given those characteristics, a follower is oriented toward an operative mode with the expectation that she will maintain the state of order. As a result, her response to inducement is likely to be indifference. With regard to value creation, the value is neutral. It might be argued that maintenance requires effort to sustain. However, it represents the default condition; there is neither a decrease nor an increase. From a behavioral perspective, the normalcy state represents task performance, which would normally be expected of that individual. A follower is required to work toward maintaining that state. Any value created is viewed as part of that task. Statistically, that value is within the confidence band that is not significantly different from zero. It is therefore a state of value neutrality.

Restorative followership

The second state is one characterized by adaptation. Followership that is characterized by bad relations reflects negative deviance. Such relationships are all too common. Examples include toxic and autocratic leadership. In such environments, a follower's potential is diminished or stunted. A strategic follower has to devise an adaptive response. He/she adapts as a result of the situation that requires adjustment to a new or better state. If the new or better state reflects an improvement, the previous state is one of deprivation. That follower has a problem—deprivation—to solve. She develops a worldview that is centered on problem-solving. In other words, the follower spends a great deal of time trying to “cure” the ailment or restore the relationship to a better state. A major expectation in this relationship therefore is restorative. In that relationship, a follower's response is curative resistance. It enables the leader to avoid digging the hole deeper, and provides a threshold for the follower to restore the relationship to a normal state. The value contributed by the follower in that type of relationship is restorative; it avoids value diminishment.

Both reasons therefore reflect some value creation. A spouse who does not exacerbate a problem obviously helps the family. Logically though, the value is diminished. First, the relationship is characterized by deprivation or destruction. If toxicity is arrested, it does not mean health has

arrived. For health to arrive, the impurities from the toxicity have to be cleaned so as to enable the organs to gain their basic functions. Put another way, a person who has fallen has to stand up first before she can run. An expectation therefore is to resolve the problem plaguing the relationship. In general, people do not seek relationships that are bereft of prospects (i.e., have diminished value). Bad leadership diminishes the value of the relationship. Strategic followers strive to restore that value to its normal level. The value that is attained in restoring the relationship, restorative value, can be determined in two major ways. First, the opportunity costs of other relationship-building tasks index the value a follower generates by restoring the relationship to its normal level. The time spent on the rehabilitation could have generated additional outcomes for the relationship. Resources are devoted to “curing” that relationship when they could have been used to improve other relationships. The inability to develop new relationships means the follower is perpetually in a state of relational deprivation or social entrapment.

Second, the amount of energy or effort to rebuild the relationship affects restorative value. Otherwise termed restorative potential, it refers to the latent ability to restore a relationship. Restorative potential is low when diminished value is low. However, it is high when diminished value is high. Relationships with high diminished value require a lot of effort or energy to restore. Consequently, restorative potential has an inverse relationship with restorative value, the value attained from restoring a relationship. The latter is at its peak when the former is lowest. As restorative potential increases, restorative value decreases. When restorative potential is decreasing, restorative value is deemed insignificant and for that matter costly to be pursued.

Transcendent followership

The third state is transcendent followership. It represents the positive pole of the continuum. As a result, it is oriented toward transcendence. Followership here centers on overcoming challenges and demonstrating extraordinary effort to advance the relationship with a leader. Thus, it reflects a condition of uberty or abundance. Uberty comes from uncompromising strife or drive to achieve superior outcomes for the relationship. It seeks to promote or advance the major constituents—follower, leader, and organization. The goal is aided by the worldview of excellence. Mediocrity and subpar performance are unacceptable to a transcendent follower even when it is willed by the leader. Such a follower strives to assist the leader to optimize her potential. Another characteristic of this state is

the expectation of generativity, the production of meaningful outcomes that can be disseminated across generations throughout the organization.

Followers therefore comply with inducements, particularly positive ones. For negative inducements, transcendent followers transform them to meaningful ones. For example, a transcendent follower who is induced to behave unethically may manipulate the leader toward ethicality. This transformation is due to the desire to optimize the value of the relationship. Instead of terminating the relationship, a transcendent follower sees beyond the negativity or unethicity. It does not, however, mean, such a person blindly complies or transforms every inducement. A transcendent follower has the capacity to assess her efficacy in transforming the inducement or relationship. She recognizes when the relationship's value can be enhanced and when she has to sever ties with the leader. In sum, a transcendent follower demonstrates judgment and wisdom in her response behaviors, which contributes to value enhancement.

In sum, strategic followership is composed of operative, restorative, and transcendent followership. Restorative followership contributes value by restoring relational value. It focuses on reducing the negative outcomes created by the leader. Operative followership picks up from where restorative followership ends; it maintains the relationship. It enables the relationship to operate consistently with its objectives. Transcendent followership also picks up from where operative followership ends. However, it focuses on generating superior relational outcomes. Combined, the values created by restorative, operative, and transcendent followership constitute a value curve as discussed below.

The value curve of strategic followership

In Chapter 2, I discussed the strategic perspective of this book: how followers create value in their relationships. Strategic followership centers on the extent to which the cognitions, affective capacities, and behaviors of followers result in outcomes that affect the organization's purpose or mission. If the mission of the organization is to generate profit or returns for shareholders, then followers contribute value by maximizing profit. However, if the mission of the organization is to generate social welfare, then value creation is determined by the extent to which a follower contributes to that objective. The value of followership therefore varies according to the organization's mission.

Strategic value also varies according to the appraiser of the specific follower behaviors. That is because value has diverse meanings. One of those meanings is the subjective meaning. A supervisor's appraisal or

recognition of a subordinate's performance may differ from another supervisor's appraisal. Nonetheless, that appraisal has some worth, big or small, to the supervisors, and the quantification of that worth results in an objective meaning of value. For example, if the supervisor grants a bonus of \$2,000 for a specific behavior, then that behavior is deemed to be worth that amount. In other words, the subjective meaning can sometimes match the objective meaning when transformed or appraised scientifically. The transformation is central. In the social sciences, where human cognition, affect, and behavior form the basis of performance, judgments or appraisals of individuals are often transformed to some economic or relatively objective measure.

The economic value, which is often expressed in pecuniary terms, facilitates quantification of the value of a follower's behaviors. If a supervisor determines that the restorative behavior of a subordinate costs the department 10,000 dollars, the value of that behavior can be compared with that of 6,000 dollar costs from another subordinate in the department. The value of the restorative behaviors can also be compared with operative and transcendent behaviors. By linking the value of the restorative behaviors to those of operative and transcendent behaviors, we can generate a value curve (see figure 3.1). The value curve is constructed from any impactful attribute—attitude, trait, behavior, activity, etc.—that can be quantified either objectively or subjectively.

The structure of the curve is such that the restorative value is estimated to be lower than operative value, which in turn is lower than transcendent value. The incremental impact of changes in value decreases as one moves up the value curve. In terms of changes, from the operative state, the impact of restorative behavior is lower than the impact of transcendent behavior of the same magnitude. In other words, organizations are likely to prefer advancement impact more than restorative impact.

Strategic Followership Decisions

Deviant behavior is willful. As a result, it requires decisions. The restorative, operative, and transcendent behaviors outlined in the strategic followership framework emerge from the strategic decisions of followers. Just as leaders have to jostle with hard choices about effective ways of influencing followers, the latter also have to make hard choices about succumbing to the influence of the former. Following leaders strategically is particularly challenging for three reasons. First, there is contagion risk. By contagion risk, I mean risk that yields negative consequences not only for the follower but also for the leader and organization. Second, it is

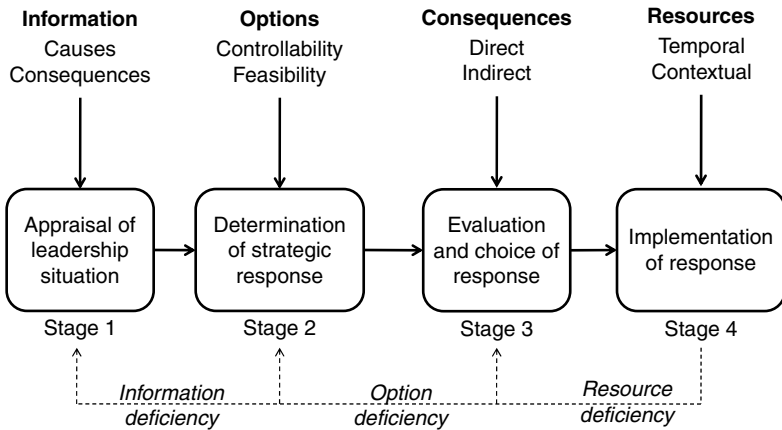


Figure 3.2 Models of strategic followership decision-making

difficult because of the dynamism of leader-follower situations. One situation that may call for easy decisions might not be the same as another that calls for difficult decisions. Third, strategic followership is embedded with dialectical tensions. The tensility of the follower-leader relationship is dynamic and complex, thereby making it difficult to manage. Strategic followers therefore have to decide whether or not to comply with inducements from leaders. The five-stage decision process is depicted in figure 3.2.

Appraisal of situations

Followers do not uncritically follow leaders; they often appraise the follower-leader situation. At the first stage, a follower appraises the leadership situation using various types of information. This appraisal seems particularly significant in ineffectual leadership situations (i.e., those situations in which a follower is influenced by an ineffectual leader). Such situations are categorized as incompetence, rigidity, intemperance, unethically, corruption, callousness, and insularity.⁸

Followers appraise the severity of the follower-leader situation in terms of how it affects their lives using causal information, comparative information, and consequential information. Causal information refers to information about the causes of the ineffectual leadership situation. Ineffectual leadership can be caused by two major sources—the leader and external events. Leader-caused ineffectiveness results from the incompetence, poor attitude, parochial motivations, and intemperance of the leader. In

contrast, externally caused situations are beyond the control of the leader. Examples include economic, societal, market, and natural environmental factors that negatively affect the organization. Followers' perception and submission to the influence of leaders under these situations certainly differ from those of leader-caused situations. Followers do not blame leaders for an economic crisis nor do they hold leaders responsible for societal changes that affect operations of a company. They do not also fault leaders for a society that becomes environmentally conscious and prefers fuel-efficient cars. However, they may blame the leader for her inability to anticipate the changes.

In addition to the source of cause, the temporality (proximal versus distal) of cause also serves as a source of information for followers to appraise follower-leader situations. Followers' perception of leaders in distal causes differs from that in proximal causes. In the former, followers perceive the leader as incompetent in not anticipating the distal causes that were in the future. The third causal source of information is orientation of followers to follower-leader situations. Internal causes are those in which followers feel they were participants to the situation. For example, if a subordinate enabled a corrupt situation, her perception of that situation will be different from when the subordinate did not enable it. External causes are those that followers did not actively or passively participate in to generate the particular follower-leader situation.

The sense of responsibility associated with these causes is different. In those situations where followers perceive the situation to be leader caused, they are likely to view the leader as irresponsible. The same feeling is unlikely to be associated with externally caused situations. In the latter situations, a follower may be sympathetic to the leader and feel some sense of responsibility toward the leader. However, in situations where they perceive themselves to be enablers, followers' sense of responsibility may be high, which drives them to work harder to restore any value that may have been destroyed as a result.

Comparative information refers to the comparisons followers make with meaningful, familiar targets that provide information about their present situation. Follower-leader situations present novel experiences, and followers use comparisons to link the situation to a recognizable context. Even though comparisons do not always lead to accurate assessments, and often bias the choices of comparison targets, they still function as effective sources of information that enable followers to react adaptively. Three types of comparisons include comparisons with schemas, comparisons with alternative outcomes, and social comparisons. Comparison with schemas refers to assessment of ineffectual follower-leader situations based on comparisons with available mental representations in an attempt to

fit the situation to a known schema. Schemas are collections of related beliefs or ideas that people use to organize their knowledge of the world. Because people generally rely on mental shortcuts in making judgments about the world, followers use mental shortcuts in judging follower-leader situations. In other words, they compare the situation to known schemas to gain information about the situation, likely consequences, and effect of inaction. Schemas derive from past experiences. Followers use their past experiences as well as those of friends, kinsmen, peers, etc., to extend their understanding of ineffectual leadership situations. If a peer was involved in an ineffectual leadership situation that eventually resulted in derailment of her career, a follower may reason that his inaction might result in a similar fate.

Comparison with alternative outcomes refers to comparisons based on the mutability of outcomes. Otherwise termed counterfactuals, alternative outcome comparisons result from imaginations of individuals about how situations, events, outcomes, etc., might have turned out differently. Imagining alternative outcomes gives followers a sense of what “could have,” “might have,” or “should have” occurred in contrast to the reality they face. Followers compare ineffectual leadership situations by imagining alternative scenarios or outcomes. For example, they reason about what might happen if they do not act in a certain way. Both upward (i.e., imaginations of *better* alternative outcomes) and downward (i.e., imaginations of *worse* alternative outcomes) counterfactuals provide valuable comparative information for followers. For example, a follower who imagines improved organizational climate without an ineffectual leader is likely to vicariously (i.e., for the benefit of other employees) resist the ineffectual leader. Counterfactuals provide information about future, controllable, and expected outcomes. If a follower reasons about a future alternative scenario, one in which a corrupt leader, for example, is likely to intensify his corruption in the future, he may be motivated to act to prevent a recurrence. The same motivation is likely to exist if a follower perceives control over the alternative scenario, and if she has certain expectations. For example, if she is expected to be a successor to an ineffectual leader, she can imagine situations where she will try not to be like the current leader.

The third source of comparative information is social. People use comparisons with others to gain information about themselves. Generally, people resort to social comparisons as a standard to make evaluations, especially when they experience uncertainty, because they tend to lack objective evaluation of their competencies, achievement, and circumstances. Social comparison information enables followers to compare

themselves to the leader. If they are more competent, honest, ethical, etc., than him/her, they may resist the leader. Social comparisons are made about friends, peers, and kinsmen who encountered similar situations. If a follower feels she is more competent than a peer who resisted ineffectual leadership, she may also resist an unethical leader. In temporal social comparisons, followers compare their current situations to their previous situations. Temporal social comparisons provide as much valuable information as traditional social comparisons. Information for assessing follower-leadership situations does not only come from the past (causes) and present (comparisons), As suggested above it also comes from the future or potential consequences. A followership situation may appear harmless in the immediate context but have future consequences. It is possible that inaction in the face of incompetence may have no immediate effect on the follower but could have devastating career and financial consequences not only for the individual follower but for the organization as a whole in the future. Consequential information of followership situations arises from four factors, the first of which is the direction of the consequence. More negative consequences are likely to receive greater attention because of the severity of their effects. In the famous story of Enron, former VP for Corporate Development Sherron Watkins made an assessment of Enron's impending financial problems based on "a wave of accounting scandals," which she determined to be dire relative to other ineffectual situations she encountered so much so that she had to report the problems to the CEO, Jeff Schilling.

Related to the consequence is the degree of self-relevance. A follower who perceives the consequences of situations as severe to him/her is likely to behave strategically. In addition, social consequences such as effect on the whole organization tend to be perceived as more severe than those that affect one or two individuals. Thus, if a leader's behaviors are perceived to have organization-wide severe consequences, a follower's response in that context may be immediate and steadfast. Temporality of consequences (short- versus long-term consequences) also provides information that affects behavioral responses of followers. People generally do not view short- and long-term consequences in the same light even when the impact of those consequences is objectively equivalent. They focus on detailed aspects of a particular outcome when it will occur in the near future, and on more abstract, conceptual concerns when the outcome will occur in the distant future.⁹ If the corruption of a leader is likely to "bring down" a company within a month, a follower's response may be different from that perceived to affect the company in ten years.

Determination of strategic response

Using the information amassed from personal, interpersonal, and ecological sources, a follower then generates strategic response options. In other words, she asks, “now that I know what the situation is, what are my options?” Strategic response options are important in guiding a follower during implementation. They provide a defense for accountability or rationalization, and serve as instruments for resource mobilization in the course of action. These reasons notwithstanding, the generation of response options depends on the motivation and competence of a follower. Motivation focuses on *interest* while competence focuses on *ability*. The extent to which a follower is willing to exert intense, persistent cognitive and affective resources in generating options consistent with the information they obtained affects the quality and quantity of the options. A motivated follower uses all available resources (i.e., optimize) in generating response options. However, an unmotivated follower only focuses on the first options that come to mind (i.e., satisfice). Even for motivated followers, their abilities may impact the options they generate. Incompetent followers also identify options that are not strategic or are wrongly suited to the particular situation. For example, a follower who merely suggests confrontation of a leader because prior experience proffers that example does not demonstrate competence. A competent follower, however, is able to distinguish the contextual differences between the current situation and previous ones in terms of the actors, time, resources, and context.

Motivation and competence are limited by the controllability of outcomes and feasibility of responses. In generating response options, a follower seeks to control the outcomes of the responses. She considers active response options so as to avoid the negative outcomes. However, if the negative outcomes seem unavoidable, she switches to passive response options, which enable her to disassociate in future should she have to account for her actions. Uncontrollable events limit the response options of followers.

In addition, a strategic follower may consider the extent to which response options are feasible. Limited resources restrict response options. Time, social support, psychological strength, and personal fortitude and ability are required resources for effective action. If a strategic follower perceives a lack of requisite resources for subsequent implementation, she invests effort in generating strategic responses. Whistle-blowers, for example, do not often blow the whistle because of perceived uncontrollability and infeasibility of their actions. Indeed, in courageous followership, resource availability is considered a critical factor that makes one to follow courageously.

The options strategic followers generate indicate not only the responses they evaluate in subsequent stages but also the direct effects on the response they eventually choose. Followers who generate more strategic response options tend to be selective in the final choice. However, they are also overwhelmed by the large number of options, which could cause them to experience greater fear or regret, decreased satisfaction with their choices, and more difficulty in decision-making. In order to minimize the ineffectiveness of subsequent actions resulting from overwhelming responses, followers evaluate each option. That occurs in the third stage.

Evaluation of strategic response

There are innumerable ways by which a follower evaluates her strategic response. Some evaluations are done before the action is taken, while others are done afterward. In this section, the focus is on anterior evaluations rather than posterior ones. The latter are discussed in stage four. However, one major consideration is significant: consequences of the response. This consideration consists of direct and indirect consequences. Direct consequences refer to any positive or negative effects a response has on the situation at hand. For example, one direct consequence of leaking the government surveillance program is hiding from US government.¹⁰ Direct consequences are outcomes that change the status of the strategic response, for better or for worse. If the strategic response is professional, direct consequences of a response affect the employee's job status. A response can have both positive and negative consequences, and these consequences can be directly or indirectly related to the status of the strategic action. In general, followers tend to be more concerned about avoiding negative consequences than they are with pursuing positive consequences. For example, at the time of writing, Edward Snowden was probably more concerned about avoiding being caught by the Federal agencies than about how much money he might make from the leaks.

A follower may ask what the likelihood is that her response will lead to positive change or avoiding of negative change. In other words, she will evaluate the perceived efficacy of each response option. One of Snowden's fears focuses on what happens after he exposed the government surveillance program.¹¹ A follower also asks what the magnitude of the potential effects of a given response is. Some responses have the potential to completely eliminate the consequences of a negative deviance situation while other responses have the potential only to improve the situation. On the negative deviance side, some responses have the potential to severely aggravate an already bad situation, whereas other responses can only improve

or, at worst, have no effect on the negative event. Snowden's interviews show that the effects of some responses last for a long time, for better or worse, whereas the effects of other responses may have a short duration. Even though he considered the impact on himself and his family, the better outcome of preserving the constitutional rights of Americans, according to him, was more paramount. When deciding between alternative responses, a follower weighs the potential positive and negative outcomes of each response to determine which response has the highest utility and efficacy.

The third question is if the effects of the response are reversible. Sometimes, the choice of a given response eliminates the possibility of making a different choice later, because some responses leave open the possibility of "undoing" any negative outcomes. Other times, erasure is not possible, because some responses have more permanent effects. For example, a subordinate who talks to his or her supervisor in response to harassment leaves open the possibility of taking more drastic action if he or she decides the response was ineffective. In contrast, a worker who quits in response to harassment may be making an irreversible decision. When interviewed, Snowden mentioned that he seriously considered the consequences of leaking the government surveillance program not only on himself but also on his family, friends, coworkers, and girlfriend.¹² Although followers may consider an infinite number, consequences related to emotion, public image, and other areas of one's life, and those for others are critical. Snowden mentioned all these as major concerns. Followers experience the full range of emotions as a consequence of their response to a negative situation, but two major ones are disappointment and regret. They also consider the effect of a response on their public images. Self-presentational motives are powerful in guiding behavior.¹³ In general, a response will seem desirable to the extent that it promotes desired impressions and avoids undesired impressions. A neophyte employee who finds himself in a confrontation might choose an aggressive response rather than a passive response to avoid the impression of weakness. The audience, which influences public images people pursue, is also likely to determine how a neophyte employee responds to a situation. He is more likely to choose an aggressive response in a confrontation situation if his male friends are present than if his parents are present.

Another factor followers consider is how a response affects other aspects of their lives. Snowden is concerned about not only his public image (while some view him as a traitor, others consider him a hero) but also whether he will be free to live without fear of being harmed. The fourth factor they may consider is how engaging in a response might affect other people.

As I mentioned earlier, Snowden clearly considered the importance of his family but deemed the principles of the US system as paramount over consequences to him and others. Of course, he also considered how he, not others, was the person to leak the program. In general, the extent to which a follower views herself as central is more likely to dominate consequences on others.

Implementation of strategic response

Once the evaluations are conducted, a follower chooses one of the response options to enact. She implements the chosen response based on the resources available to her. Resources limit the available responses and impact a follower's assessment of the response options in the evaluation stage. The resources needed for a strategic response range from costs of money, time, energy, strength, emotional suffering, to general well-being. Edward Snowden, an employee of Booz Allen Hamilton who leaked the US government surveillance program, mentioned that he considered whether he had the emotional, physical, and financial resources to sustain his life, and endure the reproach in the aftermath.¹⁴ Since he identified himself as the source of the leak, he has been hunted by the US government because of calls and demands for his prosecution.¹⁵ Followers who are more resource endowed may not be perturbed about the cost involved in a particular strategic response. Nevertheless, minimizing all types of required resources may be a very important consideration for a follower choosing between strategic response options.

Other resources include time and incipient aids. Time is a temporal resource. If a response option is not immediate, a follower has the luxury to gather additional resources. However, if there is urgency to the response, as is often the case in crises, a follower has to implement the chosen option right away. Time enables a follower to seek "second opinions" from trusted individuals. It also reduces the likelihood of error. Resources that directly bear on the strategic situation a follower encounters are contextual resources. An opportunity presented by the specific situation is an example. The opportunity manifests in the magnitude, structure, and composition of the situation. More severe situations overwhelm followers. Complex situations are also taxing in much the same way as situations that involve individuals outside the followership interface. Another resource is situation-specific aids from other individuals or coworkers. Coworkers observing the specific situation may offer suggestions to handle it. Others could provide information that leads to the resolution of a problem.

Feedback

When a strategic response has been enacted, it invariably leads to feedback appraisal because of the consequential effects. When the desired outcome is achieved, appraisal provides fodder that reinforces future behaviors. However, when undesired outcomes are attained, a follower appraises the enacted response to ascertain reasons for the failure or success so as to generate insight on how to improve future behaviors. The feedback suggested in figure 3.2 focuses on the latter: when desired outcomes are not attained. Submission behaviors are likely to lead to regret or remorse in much the same way as resistance behaviors lead to negative immediate consequences for a follower. A follower evaluates his/her response in the same way that he/she appraises the strategic options. However, three major areas that align with the decision states are important. Expressed as deficiencies, the feedback focuses on resources, options, and information.

Resource deficiency results from the implementation of a response (see figure 3.2). A follower looks at the extent to which she had sufficient or inadequate resources to enact a response. As discussed above, resources encompass psychological, economic, social, and physical resources. Thus, if a follower did not have the moral courage to resist the inducement of an unethical leader, she might view that psychological deprivation as a reason for the suboptimal outcome. The lack of social support might also be a basis for premature termination of a response. The endurance of the follower is curtailed by the deficiency in social support. In the workplace, a follower might stop short a course of action because of lack of support from coworkers, friends, or family members.

Option deficiency, in contrast, emerges from the response generation stage. It centers on the extent to which a follower missed some options or inappropriately assessed the set of options. The deficiency is thus one of comprehensiveness and completeness. By not contemplating all the potential options, a follower might miss a potentially significant option that could have yielded the desired outcome. It is not any option at all that will cause regret for a follower; rather, it is relevant options that, with hindsight, were overlooked. For example, if a follower neglects to get validation by telling a trusted friend or coworker the inappropriate advance of a supervisor, that option might be significant when investigations are conducted later.

Third, informational deficiency focuses on the lack of information. It emerges from the appraisal of the specific followership situation encountered that triggered the strategic decision process. As I mentioned earlier, information about a situation comes from diverse sources, but it is likely a follower may not have looked at those sources. By looking at the

information gathered and the sources, a follower can discern the utility of the information, the accuracy of that information, and its influence on the enacted response. The importance of informational deficiency is illustrated in the political arena where “inaccurate information by the intelligence agencies” was deemed the basis for the rush to war in Iraq. Even though that assertion was later discredited, it served as feedback in the immediate aftermath.¹⁶ The response of a follower could also be based on faulty information, which could lead to undesirable outcomes. The asylum destination of Snowden is illustrative of this. He did not either appraise or understand the geopolitical and economic dynamics that buffet legal systems. As a result, he deemed Hong Kong a safe place, only to find out it was not. Then he turned to Russia, again only to find out that he would be stuck in a transit point with no means of getting to South America, where he eventually wanted to seek refuge.

Strategic Followership Behaviors

In Chapter 2, I mentioned that strategic action sometimes focuses on the person, solution, agency, openness, acceptance, and influence, and each focus has its continuum. The follower gauges his/her action based on the person, solution, representation, transparency, endorsement, and submission. I also mentioned that the behaviors associated with those responses are the centerpiece of strategic followership. It is therefore important to examine them in detail. You will recall that strategic actions refer to the behaviors that emerge from the decisions as responses to strategic situations. There are three major situations (see value curve in figure 3.1) that determine strategic value: value-diminishing situations that require restorative behaviors, status quo situations that require maintenance behaviors, and promotive situations that require transcendent behaviors. Table 3.1 lists the strategic behaviors.

Table 3.1 Strategic behaviors and their functions

<i>Functions</i>	<i>Strategic behaviors</i>		
	<i>Restorative</i>	<i>Maintenance</i>	<i>Transcendent</i>
Motivation	Yield	Endorse	Generate
Consequence	Avoid	Embrace	Seek
Capability	Defy	Harmonize	Uphold
Time	Dawdling	Hedging	Anticipate
Situation	Preventive	Status quo	Promotive

Strategic behaviors are a function of motivation, consequence, capability, and time. Motivation refers to the arousal and persistence of a follower in submitting to influence of a leader. In preventive situations, yielding behaviors arise from a follower's motivations (i.e., what he/she will achieve from the inducement). If the follower expects to achieve some outcomes that, given her current condition, would be more valuable, she may yield. I discuss in Chapter 4 that the corporate world is replete with individuals who are motivated to yield to bad influence of leaders. But there are also some followers who would not yield. In status quo situations, followers endorse the action or request (i.e., influence) of the leader so as to maintain order. That endorsement sustains the relationship and "order" in the organization. During the reign of Al Dunlap at Sunbeam, Michael Price, whose "fate was inextricably bound to Sunbeam's," could not but endorse Dunlap's callous behaviors that were ruining the company. He bestowed on him one of the most lucrative packages ever awarded to a CEO. Promotive situations are different, however. In those situations, followers exhibit transcendent behaviors. Their generative behaviors are based on a desire to advance the organization because it is the right thing to do. Such behaviors have positive consequences for the leader and organization (see Chapter 5).

Strategic behaviors could also be a function of consequence. In other words, whether a follower avoids, embraces, or seeks influence, she does so because of the consequence to her, the leader, and other constituents. In preventive situations, the follower does not have the courage to object and is not psychically at ease with yielding. As a result, she avoids the leader. In status quo situations, however, the follower embraces the influence either because the consequences are perceived to maintain order or because not doing so will create disorder. In promotive situations, the consequences are perceived as positive. As a result, the follower seeks the influence so as to project it.

The third function, capability, is associated with defiance in preventive situations, harmonization in status quo situations, and upholding in promotive situations. If a follower has competence (expertise, information, experience, etc.) vis-à-vis the leader, her ability to defy the influence is greater. Such defiance contributes value to the organization by saving costs (measured psychologically, economically, or socially) (see Chapter 4). Upholding behaviors lift the leader and organization. The capabilities of the follower can also enable her to promote the leader.

The fourth function, time, is associated with dawdling, hedging, and anticipatory behaviors in preventive, status quo, and promotive situations, respectively. In preventive situations, a follower dawdles in bad influence in the hope that time will pass for the issue to not matter anymore. For

example, if some misappropriation has to take place at an event and the follower dawdles, the passage of time will make that issue moot. It is similar to but different from avoidance in one respect: the follower just relies on the passage of time for her nonresponse to be unessential. For status quo situations, the follower hedges by counting on subsequent disinterest, forgetfulness, or constraint to substitute for her nonresponse. The hedging thus maintains order. Anticipatory behaviors are transcendent particularly when a follower overcomes challenges to do so. By anticipating the potential influence (i.e., needs of the leader or organization), the follower behaves extraordinarily.

Styles of strategic followership

A style is a particular, distinctive, or characteristic way by which a follower submits to the influence of a leader. The characteristic way emerges from the decisions and actions of the follower. The decisions could be covert or overt, and the action could be explicit or implicit. When the decision is covert and the action implicit, style is abeyance: a state of suspension so that the leader is unable to decipher the response of the follower. It is likely to be adopted when the basis of followership is not clear or ineffectual. A follower is not able to rationalize or justify her submission to the inducement. When the decision is overt and the behavior is covert, the style is emergent. This style depends on time and future states. A follower reasons that with the passage of time, the solicited response will not be desired. A follower wants to resist but lacks courage to do so. Instead, she wavers in her response, so that after a period of time the leader discerns the resistance of the follower. The decision of a follower could also be implicit and the behavior overt. I term that style avoidance: the follower seeks to avoid the influence but does so with implicit plans and not actions. In the fourth style, termed defiance, a follower takes explicit decisions and overt resistance behavior.

The style a follower adopts depends on her capacity on the one hand and the leader-follower situation on the other. Followership is sometimes viewed as a capacity. It is the unique or distinctive way of relating to leaders. Relational capacity is honed through experience, intellect, and personality. One major dimension of relational capacity is moral capacity. Through moral capacity, a follower is able to distinguish right and wrong situations, and to resist the latter. Moral capacity also enables a follower to discern when to be covert or overt in her decisions and behaviors.

In addition to moral capacity, rational orientation affects strategic follower's style. Rationality is an attribute that is developed over time. As an element of the "cool system" (system characterized by objective,

calm, ordered, and relatively transparent approach), rationality tempers the hot or emotional tendencies of followers and enables them to view a followership situation more objectively. Individuals who are rational are likely to make decisions using the rational approach by generating solutions, evaluating the advantages and disadvantages of each solution before selecting the solution with the greatest benefits.

Another factor influencing followership styles is the leader-follower situation. The diverse situations mentioned above can be classified as bad and good. In good situations, a follower is not averse to influence; in fact, she might be influence loving. The specific style to adopt and the degree of that style may be different from situations that are bad or ineffectual. In bad situations, the leader influences the follower in a bad way. Bad leadership situations include unethicity, harassment, toxicity, etc. In such situations, a follower, particularly an upright one, carefully appraises the negative influence from the leader before deciding which style to adopt.

Types of strategic followers

Strategic followers are defined by their strategic actions. There are a number of dimensions of strategic action (see figure 3.3). One dimension is the person. Some followers compete to create value. They differ from those who cooperate to create value.¹⁷ Accommodation, compromise, and avoidance are strategic actions that fall in between competition and cooperation. Another dimension is agency. The strength of agency, which is the extent to which the person seeks to influence the strategic response to external pressure or influence, ranges from passive to active. The responses range from acquiescence through compromise, avoidance, and defiance to manipulation. The few studies that have used this typology seem to have found some support for the four types.

A third dimension is acceptance, the extent to which a follower complies or resists leader influence. Effective followers' compliance behaviors are not unwholesome; they accept influence if it is good but resist if the influence is bad. Acceptance of influence thus ranges from collaboration on the one hand to defiance on the other. Some followers adapt to the influence while others accommodate it. Still others avoid or manipulate it. These are mid-range options. Abeyance where the follower creates uncertainty with regard to the direction of compliance is one mid-range option. Avoidance is another. The compliance of a follower is emergent or defiant depending on the strength of influence. Strength of influence varies from weak to strong. It is proposed as dyadic. If power is the basis of strength, both the follower and/or leader may be strong or weak. If both the follower and leader are strong, the compliance behavior of a follower tends to differ

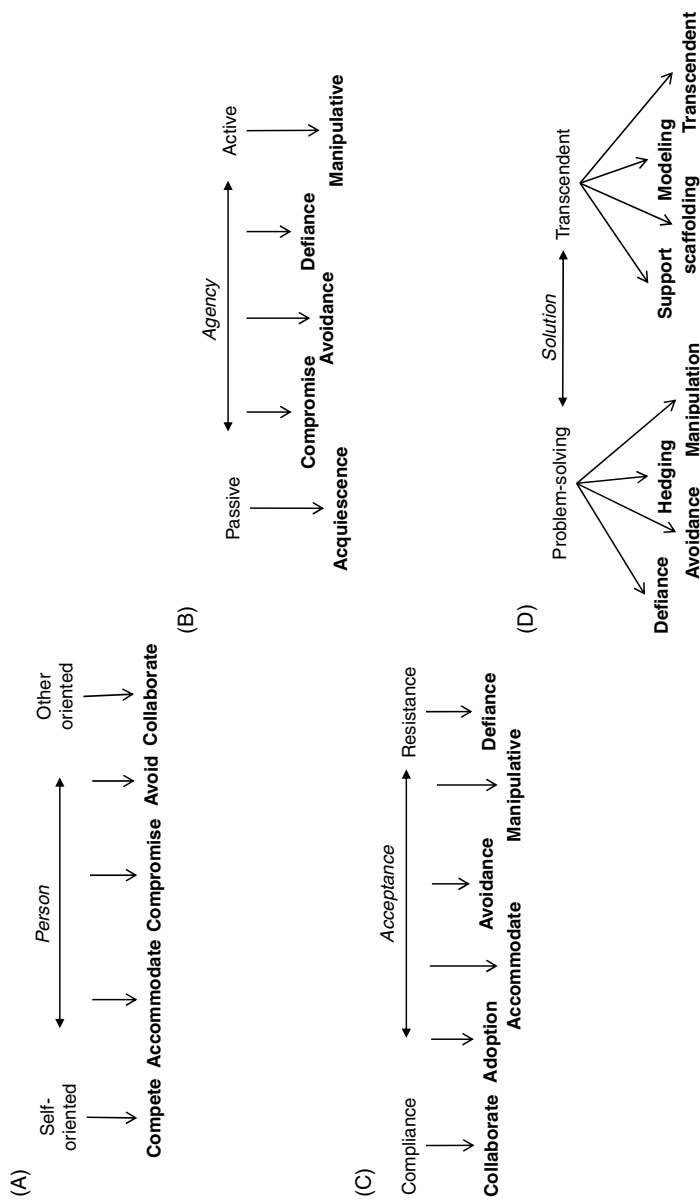


Figure 3.3 Dimensions of strategic action

from when both are weak. Further, if the leader is weak and the follower is strong, she may defy the bad influence of the leader. The strategic action of a follower is also overt or covert. Followers adopt competitive, emergent, prospective, or defiant responses as a function of the openness of the action. Followers challenge the source of influence covertly (compete) or subtly (emergent). They also challenge exploitatively (prospectively) or outrightly (defiance).

The last dimension focuses on solution: the extent to which a follower creates value through generation of solutions. Solution-based value creation, the centerpiece of this book, could be problem oriented (i.e., negative deviance) through the maintenance of status quo (normalcy) to transcendence (i.e., positive deviance). Some strategic actions fall on the problem-solving spectrum. Another form within this spectrum is resistance. Resisting a bad leader out of a belief in the unethicity of the demand(s) is goal centered. Unlike the above example where the goal was personal, the resistance may be organization centered; the follower does not want to negatively affect the organization in the long run. A third form is avoidance. The goals and beliefs undergirding avoidance courses differ from the previous ones in that they are passive resistance that can be converted to active form by the follower (resistance) or the leader (compliance). Hedging, which relies on the passage of time to neutralize the influence, is also another form of strategic action. Followers hedge in the hope that, with the passage of time, normalcy will return. Hedging arises from a follower's fear of overt resistance and inability to avoid the source of bad influence.

Other strategic actions fall on the transcendence spectrum. Restorative actions create value through their rehabilitative attributes. Followers who restore bad situations or conditions to normalcy create generative outcomes. Others can move beyond restorative to uplifting, a higher form of value creation. Metaphorically, unlike restorative actions that move a person who has fallen to a sitting position, uplifting actions help that person from the sitting position to a standing position. Uplifting actions therefore enable the relationship, leader, or organization to "stand tall." Modeling improves upon uplifting. Continuing the metaphor, modeling is showing the standing person how to walk. The walking enables that person to move from one place to another. Through modeling, a follower demonstrates how a task can be executed. Modeling behaviors manifest in diverse ways. If a follower refuses to heed the unethical demands of a leader, she models ethical behavior subtly. More overt or active modeling behaviors occur when the follower assumes a leader's role as suggested by role-shifting orientations. The highest form, transcendence, involves demonstrating strategic behaviors despite challenges or hurdles to generate

extraordinary outcomes. They result from superior effort that is preceded by overcoming challenges.

Strategic followership and strategic leadership

Before concluding this chapter, it is important to distinguish strategic followership from strategic leadership. Strategic leadership has been studied since the 1980s by management scholars. As a result, there is a profusion of knowledge on the meaning, dimensions, contingencies, and system of strategic leadership. In contrast, strategic followership is novel. It seems this might be the first book to advance the subject. It is therefore important to show how different the new cousin is from the old uncle. The differences and similarities are summarized in table 3.2.

Table 3.2 Differences between strategic leadership and strategic followership

<i>Dimensions</i>	<i>Strategic leadership</i>	<i>Strategic followership</i>
Definition	The process by which organizational executives influence the actions of employees to achieve the strategic objectives and goals of organizations	The process by which employees are subjected to the influence of organizational executives in the process of achieving strategic objectives and goals of organizations in the face of ineffectual leadership
Level	Top	Bottom
Who	Executives: Focuses on the instrumental ways dominant coalitions impact organizational outcomes and the symbolism and social construction of top executives	Operatives: Dominant coalition of behaviors of employees
When	Ineffectual organizational situations	Ineffectual leadership situations
Why	To regulate organization Organizational risks	To regulate self Transcendent risk
Dimensions	Transactional, Transformational, Situational, and Functional leadership behaviors	Leader-member exchange Situational Contingency Courageous followership
Components	Organizational system	Promotive, preventive, preservative

Table 3.2 (Continued)

<i>Dimensions</i>	<i>Strategic leadership</i>	<i>Strategic followership</i>
Activities	Strategic decision-making Development of key competencies and capabilities; development of organizational structures, processes, and controls; Management of multiple and diverse constituencies; Selection and development of successors; Development, sustenance, or transformation of an organization's culture; and Establishment and modeling of ethical infrastructural mechanisms	Role execution Regulation Outcome anticipation Management of diverse constituent expectations Ethical structures Risk mitigation
Business process focus	Management process	Core and supporting processes
Determinants	Executive (individual) characteristics (e.g., personality, motivation, attitude) Contextual (organizational) characteristics (situation, size, strategy, culture)	Individual characteristics (e.g., personality, motivation, attitude) Contextual characteristics (e.g., situation, size, strategy, culture) Controllability
Constraints	Industry situation Economic situation Organizational cohesion Competitive level	Feasibility Motivation Interpersonal orientation Social context
Style		Abeyance; emergent; avoidance; defiant
Situation		Leader (weak and strong) and follower (weak and strong)

Both are processes that seek to advance the organization, but unlike strategic leadership that is top-down, strategic followership is bottom-up. Actors of strategic leadership tend to be executives, while actors of strategic followership tend to be employees or subordinates. Both deal with dominant coalitions. However, coalitions of strategic leaders are at the strategic apex, while coalitions of strategic followers are at the base of the hierarchy. Further, both are concerned with ineffectual situations, but strategic leadership focuses on organizational situations while strategic followership focuses on individual or interpersonal situations. Both also seek regulation. Strategic leadership addresses organizational regulation, while strategic followership addresses self-regulation. Further, the dimensions, components, and activities are different. Strategic leadership addresses leadership behaviors and activities, while strategic followership addresses followership behaviors and activities.

Other differences relate to determinants, constraints, styles, situations, and variations. The determinants of strategic leaderships tend to be mainly organizational, while those of strategic followership tend to be individual and situational. The constraints or contingencies in strategic followership also differ from those of strategic leadership. The former are macro (e.g., industry) factors, while the latter are micro (e.g., individual characteristics). The variation of strategic leadership centers on employees learning to be strategic leaders. In other words, they seek to contribute to the strategic goals of the organization even though they are not executives. The variation of strategic followership pertains to organizational units rather than individuals.

Two major differences between strategic leadership and strategic followership center on styles and situations. Strategic leadership has no styles; it is wholesome and based on facilitating the dimensions of strategic leadership. There are therefore no distinct ways of influencing the strategic objectives of the organization. However, strategic followership has styles: unique or particular ways of responding to strategic situations. Those styles vary as a function of attributes of the follower and situation. Strategic followership addresses three major situations based on the value function: those that require restorative behaviors, those that require maintenance behaviors, and those that require transcendent behaviors. All three contribute strategic value to the organization. Thus, both strategic followership and strategic leadership seek to advance organizations but the mechanisms and actors are different. While strategic leadership uses leadership influence mechanisms, strategic followership uses followership influence mechanisms.

Summary

I have presented a framework for examining strategic followership. Using value as a foundation, I discuss how followers contribute value to organizations through restorative, maintenance, and transcendent behaviors. Given the significance of value to organizations and followers, they do not arbitrarily enact their responses to inducements; rather, they appraise the situation, options, and their consequences, as well as feedback. The outcome of that decision-making leads to strategic actions.

Restorative Followership

The framework I outlined in the previous chapter identifies three value states, one of which is restorative. In this chapter I elaborate on that value state. By state I mean the condition of negative inducements a follower encounters. It is possible that a follower could also induce others negatively. However, the main objective of this book is not to highlight the bad behaviors of followers.¹ I do not consider such behaviors as strategic in the sense of enhancing an organization's strategic objectives. In a gang or criminal organization, the bad behaviors of followers might enhance constituents but this is not a book about criminal behavior. As a result, I only focus on the negative inducements from external sources: those inducements that have short- or long-term negative consequences (implicit and explicit) for either the follower or organization and for which the follower strives to improve. The condition, worldview, orientation, expectations, and responses (see figure 3.1) for this state are different from those of normalcy or positive deviance. Followers in this state seek to change the negative or bad influence situation to something better. Recall that value in this state is diminished and therefore must be improved or enhanced.

The negative deviance state is characterized by deprivation. I use deprivation liberally here to refer to personal and collective psychological, social, economic, and moral lacks that affect the strategic value of the relationship. Psychological deprivation refers to the perception of the relationship and its inability to contribute value, while social deprivation focuses on the social processes in the relationship and their inability to facilitate value creation. Economic deprivation relates to lack of incentives or rewards within the relationship. Not only these deprivations affect the ability of the leader and follower to relate well but also they sometimes drive the follower to submit to unethical and ineffective inducements by the leader.

The outlook the follower develops about the relationship in this state is one of problem-solving. The relationship is characterized by problems

that diminish the value of the relationship. Followers with a problem-solving outlook believe in the relationship and its ability to rise above the problems as well as their ability to solve those problems. Guided by that worldview, the follower harnesses personal and collective resources to restore the relationship and thereby improve diminished value.

In addition to worldview, the restorative state is characterized by an orientation toward adaptation. The actors directly and indirectly affected by the relationship focus on adapting to new tendencies, attitudes, and behaviors primarily because the old tendencies resulted in the current situation (i.e., negative deviance). One might consider adaptation as an outcome. It is! But that outcome is intended to change the current state. A follower reasons that changes in attitudes, processes, and behaviors are more likely to restore the relationship to a better state. Another orientation—*laissez-faire*—is likely. However, it does not contribute value because it perpetuates the current malaise. Adaptation seeks to restore the relationship to a healthier state.

Generally, relationships are embedded with expectations. Those expectations are even more relevant in strategic followership. Once the orientation is developed for changes or adaptation, a follower is expected to restore the damaged relationship. As a result, a strategic follower who is concerned about stakeholder responses strives hard to meet those expectations. The existence and nature of the expectations is what matters because the follower's contribution is based on meeting those expectations. Those expectations also determine the response of the follower.

In Chapters 2 and 3 I discussed the significance of responses in strategic situations. They often are counteractions to pressures and vary according to the situation. For effective followership, positive responses such as yielding and endorsement often are associated with greater value contribution. The responses of followers in this restorative state vary from passive to active, and the major response seems to be resistance, rejecting the bad influence of leaders. It could be overt as in manipulation and outright rejection of an inducement or covert as in avoidance, hedging, and tardiness. I discuss these responses later.

The framework suggests that negative deviance is characterized by value diminishment. The more problems (or crisis) there are in the relationship, the more its value diminishes. Value diminishment varies at different stages (see figure 4.1). At the initial stages of bad influence, value diminishment is low. However, as the influence entrenches, value diminishment increases. It bottoms out at some point even though that stage is a function of several factors including the complexity of the issue, power of the leader, type of followers, and organizational factors (e.g., culture). For a strategic follower, the bottom, indexed by cessation of the bad influence, may also be a

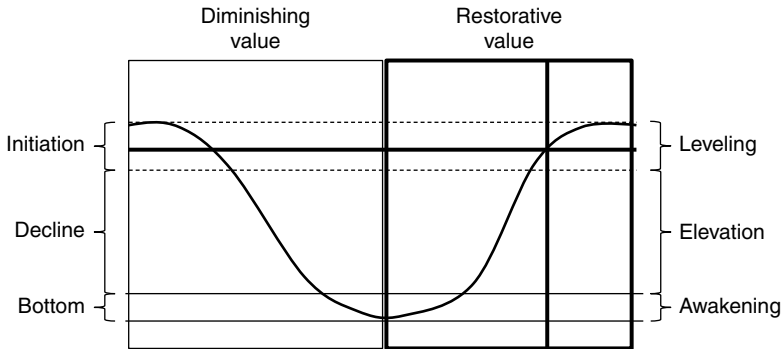


Figure 4.1 Stages of restorative value

function of several individual factors including intolerance and moral rectitude. That bottom is the threshold of restorative followership: the point at which a strategic follower begins to lift the relationship up the value curve.

A follower's role therefore is to alter, improve, or enhance the relationship by providing solutions that enable the relationship to excel. In other words, restorative followers resolve relational problems in a way that yields meaningful and long-term outcomes to stakeholders of the relationship. Similar to value diminishment, value restoration occurs in stages. When value diminishment ends, restorative value begins. It is followed by elevation and termination. The latter stage marks the maximum restorative value, even though in reality that often seems difficult because of sunk costs. The contribution moves the relationship up the value curve (see elevation in figure 4.1). The elevation is the central stage of restorative followership. Consequently, it is enhanced or diminished by relational anchorage, the extent to which a relational agent (i.e., a follower) is securely held or bonded to the relationship.

Relational Anchorage

Relationships generally are characterized by governance, structure, and dynamics. Governance refers to the *modus operandi* of the relationship. It focuses on how the relationship operates. Followership that is characterized by incompetence is likely to be directionless because of lack of knowledge or skills in guiding the relationship. Relationship structure refers to the reporting or coordinating points that link a follower to the leader or other actors in the relational space. Relationships with simple structures involve a few leaders and tend to be linear or deterministic while

those with complex structures involve multiple leaders and tend to be nonlinear (see figure 2.2). Dynamics, the changes in the relationship, are predictable when a subordinate is to be promoted or unpredictable as in sudden departures or turnovers. These characteristics affect not only the outcomes of the relationship but also the state and process of restorative followership.

Relational agency is anchored when a follower perceives that her decisions and behaviors (i.e., operations) revolve around the relationship. A follower thinks about the consequences of her decisions and actions on the relationship. Followers who are firmly anchored centralize the relationship around their activities. Anchorage may be permanent as in parent-child relationships or temporal as in host-guest relationships or mid-range as in supervisor-subordinate relationships. The permanency of the first type of relationships and the evanescence of the second type make them issues of less concern. My interest is therefore on relational anchorage in the mid-range.

Followers often have multiple relationships. The relationships can be represented as a series of concentric circles (see figure 4.2). The arrows represent the strength of relational anchorage as well as the degree of expectations, level of shared understanding, and depth of decision-making. Except for the latter, all others peter out the further a relationship is from a follower. Those closest to the follower have strong anchorage, greater expectations, and high shared understanding. The widths of the circles indicate their potential effects on the follower. The primary circle, which has the thickest width, represents relationships closest to the follower. The secondary circle also has a thicker width and represents those closer to the follower. The tertiary circle has a thick width and represents those close to the follower. The quaternary, quinary, and senary circles represent relationships that are further from the follower.

These relationships can be illustrated with the story of Al Dunlap. In discussing how ineffectual leadership occurs, Kellerman identifies groups of followers who enabled the callousness of Al Dunlap. The primary relationships are represented by Michael Price, who, because of what he stood to gain, did not resist the ineffectual leadership of Al Dunlap. The secondary relationships are exemplified by the management team. As followers, they could have resisted Al Dunlap or at least helped him change his style of leadership. They did not have to be sycophantic. The tertiary group of followers is represented by Sunbeam's board. As Kellerman notes, most board members supported him. Their support enabled him to continue his bad leadership. Those in the periphery are the furthest removed from the follower. They include investors and financial analysts; they constitute relationships that bear on the follower-leader interface. Besides the specific

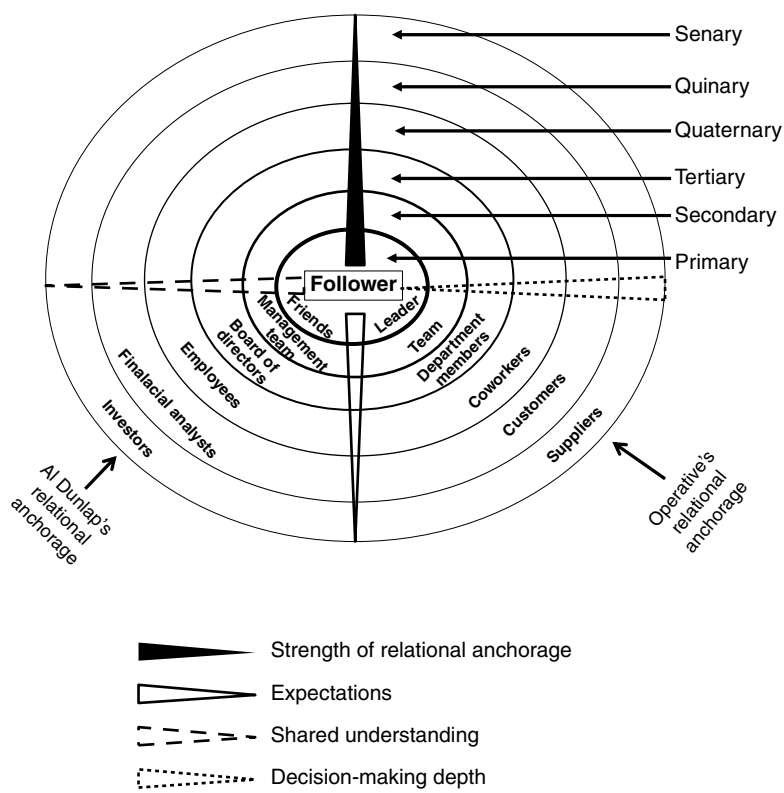


Figure 4.2 Relational anchorage

examples in the case of Al Dunlap's followers, other followers can be identified. For a manager, groups of relationships include coworkers, team members, subordinates, and other supervisors. Peripheral but potentially influential entities include regulatory agencies, partner organizations, suppliers and customers, and third sector entities (e.g., nongovernmental or advocacy organizations). Even though the latter are external to the organization and the follower-leader interface, they sometimes affect a follower's strategic response.

Relational anchorage, depicted in figure 4.2, varies between these categories of entities. Whether a follower can end the relationship or respond to influence depends on it. Anchorage is strongest in the follower-leader interface and stronger in the organizational interface. It is tenuous outside the organization because of intervening mechanisms that vitiate or tamper the bond. Strength embodies endurance, dependability, stickiness,

and security. Endurance, the degree of sustainability of the relationship, enables followers to maximize their strategic value. Relations that endure have greater anchorage than those that do not have to be sustained. As the social capital literature suggests, some ties are so vital that actors tend to strive to maintain them. The endurance of the relationship suggests that a follower is prudent in her decisions and responses. *Ex ante*, when a follower expects to develop a sustained relationship with a leader, she submits to whatever influence the latter wields, particularly if the person is a model. Endurance is high in relationships that are perceived to provide positive or beneficial future outcomes. Relationships with suppliers and customers exemplify high endurance because of those actors' sustaining potential.

Dependability refers to the extent to which a relationship is characterized by high reliability. A follower who perceives a leader as reliable or dependable is likely to respond positively to the influence of that leader. Relationships characterized by high dependability have greater anchorage than those with low dependability. Because dependability is associated with trust, it engenders a sense of confidence on the part of the follower and anchors her to the leader. In addition, relational anchorage is indicated by the degree of stickiness, the extent to which a follower can hang on to a relationship even if it is not going well. It is the attribute that glues a follower to the relationship.² Stickiness is a propeller for sustained effort on the part of the follower and a function of the governance, structure, and dynamics of the relationship. Relationships that are governed or structured positively are likely to be sticky. Stickiness is also likely to influence the restorative behaviors of followers.

The fourth attribute of relational anchorage strength, security, refers to the degree to which a follower perceives a relationship as providing protection and freedom from harm. In the work context, relationships provide economic, social, and psychological security. Economic security arises from the economic rewards a follower achieves in submitting to the influence of a supervisor. Bonus, merit pay, perquisites, and job security minimize the economic deprivation of a follower. The extent to which a follower can always rely on a leader for companionship, support, and advocacy is social security. It differs from psychological security, psychic benefits such as self-esteem, self-advancement, and image reflection that comes with being in a relationship with the leader.

Restorative States

The factors discussed above are by themselves important in sustaining followership but it is their role in each of the restorative states that is of consideration in this chapter. Negative deviance is characterized by

deprivation (see figure 3.1). There is lack of moral and social strength particularly on the part of the leader. The follower is therefore expected to restore the relationship to a better or healthy state. As I indicated above, whether or not the follower will engage in restorative behaviors depends on relational anchorage. Relational anchorage encompasses contextual (internal and external relational environments) and agency (actors or entities that affect and are affected by restorative followership) features. The combination of context and agency results in four restorative states that range in relational anchorage from very intimate to very distant. For simplicity I term them kin, clan, companion, and alliance. These are shown in figure 4.3. Also shown in the figure are the dominant strategic behaviors likely to be exhibited in that state.

Kinship

The kinship state is one that resembles kinship conditions or relations. It is characterized by personal agency observed in close relations. The relationship is similar to that of siblings. The drive to forestall problems besetting a sibling seems strong. Relational anchorage is very strong. The sense of endurance, security, and stickiness is high. The strong relational

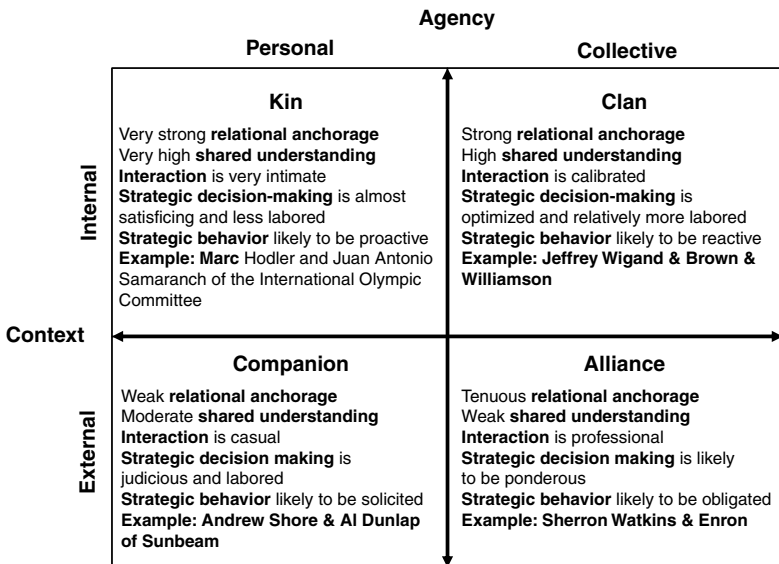


Figure 4.3 Restorative states

anchorage serves as a buffer against renegation or betrayal in future. There is also very high shared understanding between the follower and the leader. Due to the shared understanding, the follower knows or anticipates the needs of the leader as well as the props of the relationship. As a result, the interaction is intimate. Strategic situations tend to be less severe or challenging because of the deep knowledge between the parties. Consequently, decision-making is not laborious; a follower can therefore satisfice in decision-making. One example of this state is the relationship between the president of a university and his/her assistant.³

Clan

The strength of relational anchorage in the clan state is less strong relative to the kin state. The broader set of actors in the clan suggests that attention is distributed and therefore not concentrated on an individual. However, the mutuality of visions, interests, motives, and values, suggests a strong bond between them. Shared understanding is high partly due to the convergence of interests and values. Unlike the kin state, interaction is calibrated; the sense of intimacy observed in kin states is lowered in clan states. Strategic situations tend to be more challenging due to the relatively shallow knowledge between the parties. Consequently, decision-making is more labored. The follower optimizes in decision-making by evaluating options and their consequences more carefully. There is a greater concern for accuracy and less error. The interaction is also less casual compared to that of kin states.

Companion

The condition of a companion relationship is characterized by weak anchorage. The level of shared understanding is moderate in that what is shared is not complete. There are certain aspects that are completely shared and other aspects that are guarded, albeit not deliberately. It is just that the nature of the relationship does not rise to the level where the follower or other party is confident to share everything. The relatively more shallow knowledge between the parties in such state presents strategic situations and causes decision-making to be more labored. The follower deliberates carefully and meticulously about current and future possibilities as well as the pros and cons of options generated. That deliberation is due to a desire to determine the degree of the follower's fit or a desire to avoid commission of "errors of omission." The follower's decision-making is therefore more judicious than in the previous two states.

Alliance

The fourth state is what I term alliance. The anchorage is so tenuous that the relationship can break at any point. As a partnership the follower compartmentalizes situations, activities, and behaviors such that some are shared and others not shared. Shared understanding is weak for that reason. The parties act professionally rather than intimately. For the same reasons as those given above (see companion state), the follower is extra careful in her decision-making. Strategic situations in this state tend to be extremely challenging. As in the companion state, decision-making is very ponderous; the follower deliberates carefully and meticulously in generating options and resolutions.

Strategic Behavior in Restorative States

Strategic followership in negative deviance situations involves reversing the downward spiral or diminished value: actions that move the relationship up the rungs or facilitate meaningful outcomes to stakeholders. Four major actions include defiance, avoidance, hedging, and manipulation. Corporate cases that illustrate these restorative states are shown in tables 4.1–4.4. I discuss the strategic behavior of followers in each case using the follower-leader context, influence situation, decision-making, strategic choice, and action response of followers ($C_{F-L}S-DCA$) model.. In each of these cases, the events seem to fit the model.

Strategic behavior in kinship states

The case (see table 4.1) centers on the International Olympic Committee (IOC) and the followership of Jean-Marc Holder. This restorative state corresponds to kinship. The interpersonal environment is one that resembles siblings or kinship in the sense that the follower and leader are very intimate.

Context. The organizational context involved a major international organization, the International Olympic Committee (IOC). The IOC was marred by bribery, corruption, and gifts to members. Gifts of value to IOC members are not allowed. By enabling or not controlling such gifts, the leader of the IOC at the time, Juan Antonio Samaranch, was dragging the invaluable IOC and its most valuable symbol (i.e., Olympic rings) through the mud.

Follower-leader relations. The relationship between the follower, Marc Hodler, and leader, Samaranch, was characterized by ineptitude on the

Table 4.1 Illustrative case of kinship state

Corporate case	International Olympic Committee and followership of Marc Hodler
State	Kinship
Context	Juan Antonio Samaranch commanded strong loyalties among IOC members, so no one was ready to criticize or restrain his corporate excesses. The IOC was marred by bribery, corruption, and gifts to IOC members. Gifts of value to IOC members are not allowed, so by enabling and not controlling such gifts, Samaranch was dragging the invaluable IOC and its most valuable symbol (i.e., Olympic rings) through mud.
Follower-leader relations	Incompetent relations
Strategic situation	The descent of the high-valued Olympic organization to disrepute: protecting the fiscal and political interests of the IOC at the expense of its high ideals; performance-enhancing drugs; and corruption of IOC members through bribery and gift exchanges. Marc Hodler had observe this negative transformation of the IOC. As a committee member who valued the ideas of the Olympics movement, he could not tolerate the bad situation.
Strategic decision-making	Marc Hodler decided to blow the whistle on December 12, 1998, on widespread corruption in the bidding process for the 2002 Winter Games and several previous Olympic bids. The ensuing scandal led to an overhaul of the committee and the departure of ten delegates. Prior to the date, he had been deciding not only why, when, and where but how to blow the whistle. Hodler was motivated by a belief that “sport was above everything,” because “When something of the world’s corruption infected sport itself, it hurt him very much,” Mr. Kasper, the then President of the Federation Internationale de Ski (FSI) added.
Strategic behavior	First, he formally wrote to IOC members reminding them that “gifts of value are not permitted” and they are not allowed to travel at the expense of a bidding city. Second, he documented the extent of the corruption and bribery (e.g., Salt Lake City Olympics). Third, he reported the institutionalized bribery. In doing so he resisted bad influence.

Outcomes	Marc Hodler's behavior led to major reforms that helped restore the image of the organization. One year after his revelation, the IOC approved a 50-point reform package, voted to eliminate traveling around the globe at the expense of bidding cities desperate to win their votes, lowered the age limit for new members, set term limits, and put 15 active athletes on the committee. These changes enhanced the reputation of the IOC and moved it back toward its ideals.
Factors	Incompetence leadership; overzealous followers; followers with tunnel vision; irresponsible and unaccountable followers; clique of ill-reputed members; deviation from Olympic ideal; boastful attitude; clique of bad members; bad habits of Samaranch; failure to exercise sufficient oversight.

part of the leader.⁴ Hodler, out of loyalty, endured the ineptitude initially, particularly because of concern for the consequences. As time passed, his tolerance increased. After a while, the tolerance turned to intolerance, such that continued ineptitude drove him to react or act to restore the value of the IOC.

Strategic situation centers on the descent of the high-valued Olympic organization to disrepute. Among other things, protecting the fiscal and political interests of the IOC at the expense of its high ideals, performance-enhancing drugs, and corruption of IOC members through bribery and gift exchanges posed strategic dilemmas for Hodler, who observed the negative transformation of the IOC. As a committee member who valued the ideas of the Olympics movement, he could not tolerate the bad situation.

Strategic decision-making. Hodler decided to blow the whistle on December 12, 1998, on widespread corruption in the bidding process for the 2002 Winter Games and several previous Olympic bids. The ensuing scandal led to an overhaul of the committee and the departure of ten delegates. Prior to the date, he had been deciding not only why, when, and where but how to blow the whistle. Hodler was motivated by a belief that "sport was above everything," because "When something of the world's corruption infected sport itself, it hurt him very much," Mr. Kasper, then President of Fédération Internationale de Ski (FIS) said.⁵

Strategic behavior. First, Mr Holder formally wrote to IOC members, reminding them that “gifts of value are not permitted” and they are not allowed to travel at the expense of a bidding city. Second, he documented the extent of the corruption and bribery (e.g., Salt Lake City Olympics). Third, he reported institutionalized bribery. In doing so, he resisted bad influence.

Strategic outcomes. A follower behaves in a way that contributes value by demonstrating competence that not only neutralizes the ineptitude of the leader but also upholds the relationship in the eyes of observers. Hodler’s behavior led to major reforms that helped restore the image of the organization. One year after his revelation, the IOC approved a 50-point reform package, voted to eliminate traveling around the globe at the expense of bidding cities desperate to win their votes, lowered the age limit for new members, set term limits, and put 15 active athletes on the committee. These changes enhanced the reputation of the IOC and moved it back toward its ideals.

In this case, Hodler was a loyal and morally upright follower who tolerated the ineptitude of the leader, Samaranch, and the corruption of the members for a while until he could not endure anymore the destruction of the invaluable ideals and image of the IOC. Marc was a “sibling” of the IOC. He was a former athlete and had been with the IOC for a long time. His impeccable behavior was so ennobling that he was asked to chair a major committee of the IOC. He defied objections and disapprovals to report institutionalized bribery within the IOC after his letters calling for changes went unheeded.

What factors enabled the strategic followership of Hodler in this situation? There were several factors, but the major one was the leadership and personal characteristics of Samaranch such as ineptitude, boastful attitude that he had achieved so much for the IOC that its image could not be tarnished, bad habits, and failure to exercise sufficient oversight. Another factor was the type of followers: they were cliquish, overzealous, and opportunistic, and they had tunnel vision. A third factor was the lack of responsible and accountable systems.

Strategic behavior in clan states

Strategic behavior in clan states is illustrated by the case of the tobacco industry’s denial of smoking’s lethal effects. The group of cigarette manufacturers was a clan (see table 4.2). As a cohort, the CEOs of all the manufacturers continuously denied knowledge of, and vociferously opposed, the link between cigarettes, addiction, and cancer. The denials and oppositions

Table 4.2 Illustrative case of clan state

Corporate case	The tobacco industry's denial of smoking's effects. The CEOs continuously denied knowledge of, and vociferously opposed, the link between cigarettes, addiction, and cancer. That is until Jeffrey Wigand blew the whistle on the TV news program <i>60 Minutes</i> .
State	Clan
Context	Jeffrey Wigand worked at Brown & Williamson as vice president for research and development. As a result, he had information that was the most important to ever come out against the tobacco industry. The tobacco industry made billions of dollars by marketing cigarettes as nontoxic or at least not carcinogenic, even though they knew of studies by their own researchers and others that cigarettes were addictive and caused cancer. According to the CBS' <i>60 Minutes</i> , "Brown & Williamson manipulates and adjusts that nicotine fix, not by artificially adding nicotine, but by enhancing the effect of the nicotine through reuse of chemical additives like ammonia, whose process is known in the tobacco industry as 'impact boosting.'" The process is described in Brown & Williamson's leaf blender's manual and in other B&W documents (e.g., Root Technology).
Follower-leader relations	Insular relations
Strategic situation	Dr. Wigand indicated that "executives of Brown & Williamson Tobacco, knew all along that their tobacco products, their cigarettes and pipe tobacco, contained additives that increased the danger of disease." ⁶ According to CBS <i>60 Minutes</i> , the executives of B&W knew that the nicotine in tobacco is an addictive drug, despite their public statements to the contrary. The testimony before Congress of Dr. Wigand's former boss, B&W's Chief Executive Officer Thomas Sandefur typifies such statements.
Strategic decision-making	Dr. Wigan's suspicions on the effects began to be confirmed at a conference where other colleagues wanted to develop safe tobacco but were hampered by lawyers. He enquired from executives the possibility of developing safe tobacco but was dismissed. After reflecting on the risks of his action, he abandoned his initiative. But after a research report showed a link between tobacco and cancer, he confronted his boss, Sandefur, who, as earlier, warned him to abandon his initiatives. Shortly after that, he was fired but not after he had amassed substantial information on the actors, processes, and outcomes of the nicotine addiction process at B&W.

Table 4.2 (Continued)

Strategic behavior	He insisted on “defying his former employer” not “to tell what he believes to be the truth about cigarettes.”
Outcomes	The cigarette companies made a decision that they would withhold valuable information from the American public, information that the consumer would need to make an intelligent decision as to whether or not they wish to smoke or not to smoke.
Factors	Collective denial; public misrepresentation in Congress; moral conscience

were contrary to evidence from scientific studies the CEOs had about nicotine’s effects. That is until Jeffrey Wigand blew the whistle on the TV news program *60 Minutes*.

Context. Jeffrey Wigand worked at Brown & Williamson as vice president for research and development. As a result, he had the most important information to ever come out against the tobacco industry. The tobacco industry made billions of dollars by marketing cigarettes as nontoxic or at least not carcinogenic, even though they knew of studies by their own researchers and others that cigarettes were addictive and caused cancer. According to CBS’ *60 Minutes*, “Brown & Williamson manipulates and adjusts that nicotine fix, not by artificially adding nicotine, but by enhancing the effect of the nicotine through reuse of chemical additives like ammonia, whose process is known in the tobacco industry as ‘impact boosting.’” The process is described in Brown & Williamson’s (B&W) leaf blender’s manual and in other B&W documents (e.g., Root Technology, title of B&W’s document). Dr. Wigand discerned that the harm caused to society in the name of profit was not right.

Follower-leader relations. Wigand was relating to not only the supervisor who later became the CEO, but also the organization as a whole and the industry. His supervisor, Thomas Sandefur, was not concerned about the harm caused by nicotine, particularly when Wigand and other coworkers at a conference decided to come up with an alternative cigarette that was not addictive. Sandefur opposed all efforts to develop an alternative cigarette. As Kellerman indicates, Wigand was relating with a leader who was insular.

Strategic situation. Wigand indicated that “executives of Brown & Williamson Tobacco, knew all along that their tobacco products, their cigarettes and pipe tobacco, contained additives that increased the danger of disease.”⁷ For a long time the company knew that the nicotine in tobacco is an addictive drug, despite the public statements by executives to

the contrary. For example, the testimony before Congress of Dr. Wigand's former boss, B&W's Chief Executive Officer Thomas Sandefur was clearly a misrepresentation, if not blatant lies. The company was intentionally manipulating its tobacco blend to increase the amount of nicotine in cigarette smoke so as to keep smokers addicted and therefore increase revenue. The knowledge of deceit, lies, and insularity was incongruous with Wigand's moral standing.

Strategic decision-making. Wigand's suspicions of the effects began to be confirmed at a conference where other colleagues wanted to develop safe tobacco but were hampered by lawyers. After the conference Mr Wigand enquired from executives the possibility of developing safe tobacco but his enquiries were dismissed as insignificant. When he discerned that the risks to his job, family, career, and life were too high, he abandoned his initiative of developing an alternative cigarette. But after a research report showed a link between tobacco and cancer, he confronted his boss, Sandefur, who, as earlier, warned him to abandon his initiatives. Shortly after that, he was fired but not before he amassed substantial information on the actors, processes, and outcomes of the nicotine addiction process at Brown & Williamson. By telling the truth, he would help to restore, in the long term, the reputation of his company and the tobacco industry.

Strategic behavior. When Wigand decided to act (i.e., tell all he knew about his company's strenuous efforts to manipulate the tobacco blend), he had to defy his former employer not "to tell what he believes to be the truth about cigarettes."⁸

Strategic outcomes. The outcomes of Wigand's behavior can be categorized as organizational and societal. For the organization, his action hastened the efforts of Brown & Williamson to abandon the manipulation process. The societal outcome centers on the benefits to the various states in the United States. As a result of the invaluable information (truth) he provided to the federal authorities, the tobacco industry had to compensate several states for the health-care cost associated with nicotine and cancer treatments from Medicaid. The cigarette companies made a decision that they would withhold valuable information from the American public, information that the consumer would need to make an intelligent decision as to whether or not they wish to smoke or not to smoke. Wigand contributed value to his organization, the tobacco industry, and society by modeling concern that neutralized the insularity.

There were a number of factors that contributed to this situation. First, the collective denial by the executives of the tobacco industry was reprehensible to Wigand. But preceding that was interference by the lawyers of Brown & Williamson in the collective efforts of the researchers. For example, the lawyers altered the minutes of the conference committee to

eliminate suggestions for safe cigarettes. Third, the release of a scientific report that showed a link between nicotine and cancer provided the evidence that Wigand needed to back his decision. Fourth, the continuous pricking of Wigand's moral conscience was too powerful. Even though he had been warned against his initiatives, Wigand could not suppress the moral force. The straw that broke the camel's back was Sandefur's misrepresentation, if not lies, in Congress. As Wigand watched the denial on TV, he resolved to tell the truth since the CEOs did not have the moral courage to do so.

Strategic behavior in companion states

Strategic behavior in companion states is illustrated (Table 4.3) by the case of Sunbeam Corporation's CEO, Al Dunlap. Al Dunlap developed relationships with several major followers, some of whom functioned as companions. They were the "buddies" of Al Dunlap. His companions enabled him not to show concern for many significant stakeholders (e.g., employees). A strategic follower in that state counters the callousness with flexibility. Andrew Shore's flexibility neutralized the callousness of Al Dunlap.

Context. Al Dunlap's restructuring experience involved a strategy of pitting the company's stakeholders (including employees) against the stockholders. That strategy enabled him to restructure whichever corporation he was leading not only without opposition from the shareholders but also in a manner that boosted his chance of augmenting his compensation. At Sunbeam he laid off 40 percent of the company's workforce but it did not improve the stock price. Instead of moving the company upward, Al Dunlap was further sinking the company. Andrew Shore, an analyst at Paine Webber, saw the approach of Al Dunlap and the financial reports from his company as inconsistent. He could discern that the callousness of Al Dunlap did not reconcile with the flexibility portrayed in the financial reports.

Follower-leader relations. Al Dunlap's relations with Shore reflected companionship. A companion is one whose interactions with another person are relatively shallow; they are not as intimate as in kinship or clans. Shore developed a relationship with Al Dunlap because he had to follow what Al Dunlap did in order to evaluate his firm, Sunbeam. He therefore occasionally interacted with Al Dunlap, and the more he interacted with him, the more he disapproved of his callousness.

Strategic situation. Shore was responsible for the stock of Sunbeam. As an analyst, he had to be confident that the financial reports are consistent with firm operations and industry standards. He discerned that

Table 4.3 Illustrative case of companion state

Corporate case	CEO of Sunbeam Corporation, Al Dunlap, and Andrew Shore's challenge of Dunlap's corporate restructuring approach.
State	Companion
Context	Al Dunlap's restructuring experience involved a strategy of pitting the company's stakeholders (including employees) against the stockholders. That strategy enabled him to restructure whichever corporation he was leading not only without opposition from the shareholders but also in a manner that boosted his chance of augmenting his compensation. At Sunbeam, he laid off 40 percent of the company's workforce but it did not improve the stock price. Instead of moving the company upward, Dunlap was further sinking the company. Al Shore, an analyst at Paine Webber, saw the approach of Dunlap and the financial reports as inconsistent.
Follower-leader relations	Callous relations
Strategic situation	Andrew Shore, a financial analyst at Paine Webber, was responsible for the stock of Sunbeam. As an analyst, Mr Shore had to be confident that the financial reports are consistent with firm operations and industry standards. The restructuring was too drastic to improve the performance of Sunbeam. The only way to make up was to manipulate the data or reports. He had the fiduciary duty to value the stock according to its worth based on his level of confidence. Otherwise, he had to downgrade it from a buy to sell.
Strategic decision-making	Shore first analyzed the situation and determined inconsistencies. Then he started attending shareholder meetings not only to gauge shareholder reactions but also to gather additional information that probably was only provided to shareholders. In addition, he gathered information about Sunbeam's competitors and the products and acquisitions of the company and he even interviewed some executives. In addition, he suggested to significant shareholders (e.g., Michael Price, a mutual fund manager and major shareholder of Sunbeam) to change the leadership. Finally, he downgraded the stock of Sunbeam, an action that was repeated by other analyst. The action caused Sunbeam's stock decline by about 50 percent.

Table 4.3 (Continued)

Strategic behavior	Shore used a number of strategic behaviors, but the major one was his defiance of Al Dunlap. At a shareholder meeting, he suggested Dunlap model his behavior by asking: "Al, are you willing to give back your bonus and work for a dollar this year?" Dunlap responded negatively. Then, Shore suggested to Michael Price, "You oughta fire Dunlap." All these behaviors were without downgrading the company's stock and despite Dunlap's threat that, "You son of a bitch. If you want to come after me, I'll come back at you twice as hard." He defied Dunlap by downgrading the stock.
Outcomes	Firing of Al Dunlap as CEO; replacement by a more competent, growth-oriented CEO; and subsequent improvement in the performance of the company.
Factors	The factors that contributed to this situation can be grouped as personal, organizational, and stakeholder. The personal factors center on Al Dunlap's approach to corporate restructuring, personality, and his leadership style. Organizational factors center on Sunbeam's negative predicament and the groups of followers, some of whom were sycophantic. Stakeholder factors include Andrew Shore's mistrust of the financial reports vis-à-vis the company's operations.

the restructuring of Al Dunlap was too drastic to improve the performance of Sunbeam. The only way to make up that much improvement was to manipulate the data or reports. He had the fiduciary duty to value the stock according to its worth based on his level of confidence. Otherwise, he had to downgrade it from a buy to sell.

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Strategic behavior. Shore employed a number of strategic actions, but the major one was his defiance of Al Dunlap. At a shareholder meeting,

he suggested Al Dunlap model his behavior by asking: "Al, are you willing to give back your bonus and work for a dollar this year?"⁹ Al Dunlap responded negatively. Then, Shore suggested to Michael Price, "You oughta fire Dunlap." All these behaviors were without downgrading the company's stock and despite Al Dunlap's threat that, "You son of a bitch. If you want to come after me, I'll come back at you twice as hard." Shore defied Al Dunlap and downgraded the stock of Sunbeam Corporation.

Strategic outcomes. The strategic behavior of Andrew Shore yielded outcomes that, although not good for some individuals (e.g., Al Dunlap), nevertheless helped provide a new and better path for Sunbeam. Al Dunlap was fired as CEO. Thereafter, the company sought a replacement who was deemed more competent and growth oriented. The successor improved the performance of Sunbeam and its stakeholders.

Factors. The factors that contributed to this situation can be grouped as personal, organizational, and stakeholder. The personal factors center on Al Dunlap's approach to corporate restructuring, his personality, and his leadership style. Organizational factors included Sunbeam's negative predicament and the group of followers, some of whom were sycophantic. Stakeholder factors include Andrew Shore's mistrust of the financial reports vis-à-vis the company's operations.

Strategic behavior in alliance states

Case. The fourth state, alliance, is illustrated by the case of Enron Corporation (see Table 4.4). Enron had hired Arthur Andersen as its accounting firm. The relationship evolved into a partnership where the two companies were in cahoots over the transactions and "partnership deals" of Enron Corp.

Context. Enron, formed in 1985 by Kenneth Lay after merging Houston Natural Gas and InterNorth, grew rapidly. Jeffrey Skilling was later hired as the CEO to help Enron grow even faster. He developed a staff of executives who, instead of advancing the company, brought the company down. The executives used accounting loopholes, special purpose entities, and poor financial reporting that enabled them to hide billions of dollars in debt from failed deals and projects. The chief financial officer, Andrew Fastow, and other executives misled Enron's board of directors and audit committee on high-risk accounting practices, and later pressured Andersen to ignore the issues.

Follower-leader relations. The situation involved follower-leader relations that may be characterized as evil.¹⁰ Evil is generally thought of in terms of physical harm, such as when a person is killed. However, evil also

Table 4.4 Illustrative case of alliance state

Corporate case	Arthur Andersen, Enron Corporation, and Sherron Watkins. Arthur Andersen was the accounting firm for Enron Corporation. The relationship revolved into a partnership where the two companies were in cahoots over the transactions or “partnership deals” of Enron Corp.
State	Alliance
Context	Sherron Watkins had worked in Enron for eight years after moving there from Arthur Andersen. She was high up but very dissatisfied with the major transactions of Enron. So she wrote a very detailed seven-page letter to Ken Lay, the chief executive, pointing out the transactions and their processes, implications, and consequences for not only the company but also its employees. In effect, she was indicating that his company was more or less a Ponzi scheme, something she believed the chief executive already knew.
Follower-leader relations	Evil relations
Strategic situation	Watkins had observed that the company had valuation issues with international assets and possibly some of their Enron Energy Services’ mark-to-market (EES MTM) positions. The Raptor transactions and the Condor vehicle (mechanisms to transfer funds from and back to Enron) were not helping the company. She was concerned that the company will “implode in a wave of accounting scandals.” She wanted the problem to be resolved before it engulfed the entire company.
Strategic decision-making	First, Watkins observed that transactions were not adding up. Second, she reflected on a solution or resolution either through herself or some other person. When she could not find any, she was circumspect enough to do some networking across the fence at Arthur Andersen and put the same concerns to Andersen’s Enron man, David Duncan, and two other partners. She also reflected on the pros and cons of their transactions and came to the conclusion that they were causing more harm than good and later they would reek evil on many people.

Strategic behavior	She wrote a letter to the CEO, laying out not only the issues but also their implications and repercussions.
Outcomes	Summons to Congress, implosion of the company, lawsuits, death of Ken Lay, loss of jobs and careers.
Factors	There are so many factors, but the major ones include the alliance between Arthur Andersen and Enron Corp., the greediness, and the “get rich” orientation of the executives.

manifests in other ways. There can be economic, financial, and psychological evil. These occur when an individual causes irreparable economic, financial, and psychological harm to another person. The economic and financial harm caused by Jeffrey Skilling of Enron is evil.

Strategic situation. Sherron Watkins had worked in Enron for eight years after moving there from Arthur Andersen. She was high up but very dissatisfied with the major transactions of Enron. Watkins had observed that the company had valuation issues with international assets and possibly some of their Enron Energy Services’ mark-to-market (EES MTM) positions. The Raptor transactions and the Condor vehicle (mechanisms to transfer funds from and back to Enron) were not helping the company. She was concerned that the company will “implode in a wave of accounting scandals.” She wanted the problem to be resolved before it engulfed the entire company.

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Strategic behavior. She wrote a very detailed seven-page letter to Ken Lay, the chief executive, pointing out the transactions and their processes, implications, and consequences for not only the company but also its employees. In effect, she was indicating that his company was more or less a Ponzi scheme, something she believed the chief executive already knew.

Strategic outcomes. Watkins’ behavior resulted in a summons to Congress, where she testified on the inside workings of Enron. It also led to the implosion of the company, something she feared would happen if the stakeholders discovered the transactions. In addition, there were several

lawsuits after the bankruptcy of the firm. Due to the bankruptcy, most of the employees lost their jobs and careers, another outcome she suspected would happen. Finally, the founder, Ken Lay, committed suicide as a result of the company's implosion.

Factors. The principal factors that contributed to the value diminishment in Enron include the alliance between Arthur Andersen and Enron Corp., the greediness of the executives, and the "get rich" orientation of the founder. By engaging in nefarious deals that had bad outcomes, the executives ignored the economic, financial, and career outcomes to their followers.

The above cases illustrate how diverse followers' strategic behavior yielded outcomes for stakeholders and organizations. Followers contribute value to the relationship and organization when they behave in ways that yield either short-term or long-term valuable outcomes. The behaviors move the relationship up the restorative value curve.

Process of Restorative Followership

Strategic followership has a process through which followers demonstrate strategic value (see Chapter 3). When that value is imperiled, a strategic follower acts to restore it. The process of restorative followership begins with discernment or appraisal of situational characteristics followed by role evaluation, decision-making, and choice of response. It ends with strategic action (see figure 1.1).

Situational discernment

Restorative followership is functional in the context of value diminishment or bad leadership influence. Knowledge of the ineffectual or unethical situation is therefore important for strategic decisions and actions. Situational discernment, a keen or acute understanding of the follower-leader situation, is the first step in the restorative followership process. It encompasses judgment of the stage of value diminishment (see figure 4.1), evaluation of the leader's behaviors and their egregiousness, as well as the appropriate period of intervention (i.e., bottoming out of the bad influence) and the restorative potential of the follower.

Role evaluation

Followers who discern that they should and can restore a relationship proceed to appraise their role. Role enactment involves role sending and role

receiving. The appraisal yields information on role swapping, wherein the follower assumes the “superior” position of transforming the bad situation. Strategic followers enact the new roles in dramatically different and transformative ways, although not without perturbations. However, those perturbations seem indispensable. The appraisal involves three elements. First, the capabilities vis-à-vis the situation are evaluated. A follower has to see herself in a position to arrest or alter the bad situation before taking up that challenge. Second, the follower has to assess the consequences—positive and negative—to make a determination on the overall worth of her action. Even though the situation is ineffectual and warrants intervention, the consequence of that intervention should not exacerbate the situation. That is why a restorative follower places greater emphasis on positive consequences. Third, the follower evaluates the time to restore the relational value. In other words, she assesses the extent to which she can endure the protraction of the intervention. Interventions that take a long time are likely to be unsuccessful for a number of reasons. First, the passage of time has the potential to erode any mobilized goodwill or support for the action. Second, such interventions create room for subversions by bad leaders who created the “mess” in the first place. Third, they can wear out the follower. Followers can give up not because of a lack of desire or motivation but due to whittling of their psychological, economic, and social resources.

Decision-making

As I discussed earlier in Chapter 3 (see figure 3.2), a major element of strategic followership is decision-making. Strategic decision-making is particularly significant in the negative deviance context. It involves plans on how and when to respond to the bad influence in a way that effectively restores the value of the relationship. Table 4.5 summarizes the focus, purpose, and result of the decision-making process.

It begins with situational appraisal. Unlike situational discernment where the follower hones in on exogenous factors that lead to the current situation, situational appraisal focuses on endogenous factors. A follower has greater control over endogenous factors because of her intricate involvement in the relationship; she is an integral member of the follower-leader interface. Understanding her contribution to the situation enables determination of an appropriate response. Her purpose is to understand as much as possible, the breadth and depth of the situation, so as to gauge the value implications of the situation. When Hodler appraised the continued bribery in the IOC and how such behaviors cause irreparable damage to the image and ideals of the IOC, he realized that he had to act. After appraisal,

Table 4.5 Strategic decision-making in the context of negative deviance

#	Stage	Focus	Purpose	Result
1	Appraisal of situation	How the bad influence occurred, including when it started and how it progressed	To discern the breadth and depth of the situation	A clear understanding of value implications of the situation
2	Determination of response	The options available to the follower to appropriately respond to the bad influence	To find out alternatives	The portfolio of options and their contributory values
3	Evaluation of response	To eliminate infeasible or impractical and aggravating options	To determine optimal response	A preferred (option with the greatest contributory value) option
4	Implementation of response	Enact chosen response option	To contribute meaningfully to significant stakeholders	Restoration of value of relationship
5	Feedback	To correct deficiencies related to resources, option, and information	To learn	Enhanced knowledge of strategic followership

a follower determines her response. She looks at the options available that would enable her to appropriately respond to the bad influence. Given that there are multiple options likely to create restorative value, she has to identify alternatives. The result is a portfolio of options and their contributory values.

Each option is thus appraised in terms of how feasible or practical and meaningful it is in improving the situation. This evaluation helps the follower to determine and choose an optimal response. The chosen option is then enacted in a way that contributes significantly to stakeholders (i.e., restores value to the relationship and constituents). A strategic follower also conducts feedback not only to correct deficiencies but also to learn and enhance her knowledge of strategic followership.

Restorative action

The outcome of strategic decision-making is action. The major response to bad influence is resistance. That resistance is manifested in a number of actions that range from activity to passivity. They include defiance, avoidance, hedging, and manipulation. They are all intended to restore the value of the relationship. Defiance opposes outright the bad influence of a leader primarily because submitting to that influence further diminishes the value of the relationship. Of course, defiance that restores value involves respect, poise, confidence, and conviction. When Watkins observed the potential imminent outcomes of Enron's transactions, she simply wrote a letter to the CEO, Ken Lay, laying out the ramifications of the transactions for the company and individual employees including herself. She did so with respect and poise. She also had the conviction and foresight to solicit the assistance of former colleagues at Arthur Andersen.

Avoidance is a less active form of resistance, wherein the follower simply shuns the leader who is the source of bad influence. Unlike defiance, which is based on fortitude, avoidance is based on concern for the consequential effects of the resistance. The lack of fortitude drives the follower to hide from the leader. Of course, the follower counts on the leader to infer her response from the avoidance. It backfires when the leader's inference is inaccurate. In that case the leader might consider avoidance as insubordination. For that reason avoidance as a strategy seems effective if there is likely to be a separation (e.g., quitting) between the follower and leader.

Hedging is a bet against the future. The follower may bet on the leader's changing his mind about the bad influence. When Shore asked Al Dunlap if he would consider donating part of his salary back to the employees, he was hedging that that request would prime Al Dunlap to change his negative behavior. The hedge did not work; Al Dunlap adamantly refused to do that. Like avoidance, hedging is based on some unknown. If that unknown comes to pass, the value of the relationship may be restored, but if it does not, then the follower may have to adopt another strategic response.

Manipulation, the process of resisting the bad influence by actively winning over the leader, is a conversion mechanism. Unlike the previous three that do not seek to convert the leader, manipulation attempts to bring the bad leader over to the side of the follower. Watkins' letter was a manipulation strategy that was intended to win over Ken Lay to urgently address the issue of the transactions. It probably would have worked had the feds not got wind of it.

Drivers of Restorative Followership

What are the drivers of restorative followership? The drivers are internal and external factors that propel a follower to behave restoratively. They determine whether or not a follower will act to restore the value of a relationship. These factors range from individual through group and organization to society. Societal factors show how society influences restorative followership. First, through acculturation practices, individuals can be socialized to behave restoratively. The values of a society undergird a follower's response behaviors in bad leadership situations. To the extent that a society has values of universalism rather than particularism, or communitarianism rather than individualism, a follower might be motivated to act restoratively for the sake of the common good. Another societal attribute is the authority distance between followers and leaders. Even though the followership paradigm adopted in this book is horizontal or egalitarian, the extent to which a society emphasizes equality affects whether or not a follower will attempt to restore relational value arising from bad leadership. Followers in societies that separate authorities may not readily respond to restore relationships with diminished value.¹¹ A second factor is media. The magnifying lens of the media creates a platform for restorative followers, who view it as a mechanism to expose the situation and thereby yield the needed correction. In the IOC situation discussed earlier, Hodler's response was facilitated by the media's involvement in the Salt Lake City Winter Olympics scandal. It provided a platform for him to expose other institutionalized corruption practices. Institutions, the humanly devised constraints that structure interactions, is another factor. Institutional environments elaborate rules and requirements to which individuals must conform in order to receive legitimacy and support. As a result, they affect how followers respond to bad leadership situations. A follower who is concerned about legitimacy or reputation may not behave restoratively if the institutional norms explicitly or implicitly discourage such behavior.

In addition, social character which refers to the formation of the shared character structure of the people of a society according to their way of life and the socially typical expectations and functional requirements regarding socially adaptive behavior, describes the emotional attitudes common to people in a social class or society. One type of social character likely to influence restorative behavior is receptive-passive attitudes. Followers in receptive-passive societies may not demonstrate restorative behaviors because of the idealization of (and aversion to opposition of) authority. In contrast, followers in challenging-active societies may oppose bad leaders because individuals in such societies are socialized to challenge authority.

Follower-leader relations take place in organizations. Consequently, the characteristics of organizations affect the restorative behaviors of followers. One factor is the hierarchical and reporting relationships within organizations. The structuralist view of followership ties the behavior of followers to the vertical structures of organizations and views followership as a heedful reaction to leadership demands. According to that view, restorative followership fits within the diverse typologies of organizational structures. Common among them is the specification of the communication configurations that followers have to pursue when they have to seek redress or restoration of a relationship. Organizations with open or organic structures encourage information and ideas from every employee. Because of the distribution of authority, followers in such organizations may inconsequentially demonstrate restorative behaviors. Other organizations, however, have closed or mechanistic structures that constrain the degree to which followers can either report or engage in restorative behaviors. Restorative followership is unlikely to be effective in those structural contexts. It is also likely to be effective in horizontal or distributed structural organizations where influence is shared or mutual. Otherwise termed post-structuralist, restorative followership may be positively resistant.

A second factor focuses on the norms, values, and belief systems (i.e., culture) within organizations. As regulative mechanisms, organizational norms specify tolerable or intolerable behaviors. With regard to strategic followership, the focus of organizational culture is on the strategic value of a follower's behaviors. Will the organization consider favorably restorative behavior? Will it appreciate the significance of such behavior? Organizations that integrate culture and strategy appreciate that the restorative behavior of a follower, though painful in the short term, nonetheless, has more beneficial long-term outcomes.

In addition, the change orientation of organizations may influence restorative followership. First, organizations that experience frequent changes tend to associate restorative behavior as another change, one more to many. Organizational changes—transformational or incremental; remedial or developmental—are viewed as destabilizing. Not only do employees have to unfreeze, experience the change, and refreeze their behaviors, but also the changes disorient them. As a result, organizations may develop resistance to restorative behavior, particularly if it is unfamiliar. Second, organization change often alters the identity of employees including followers. The identity alteration is imposed rather than chosen, which drives employees to resist organization change. One of the concerns expressed in Sherron Watkins' e-mail to Kenneth Lay is identity alteration; she was afraid the identities of assiduous and professional employees who had worked so hard for Enron would be changed by the imminent collapse

of the company.¹² Indeed, post hoc reactions of some employees affirmed her fears; there was resentment about the situation and newly imposed undesired identities.¹³

Related to change are risks organizations face particularly in times of crisis. Organizational risks during crises sometimes cause employees to act defensively, which in turn aggravates other actors and lead to conflict. The likelihood that restorative behaviors would be exhibited by strategic but defensive followers seems low. Aggravation deters restorative followers not so much out of fear but out of dislike of conflict.

Another set of factors centers on groups and peers. Peers are coworkers or colleagues of the same work category. For a human resources (HR) manager, peers would be other managers of the same level. The concern of an HR manager, for example, for the opinion or acceptance of her peers may be a driver to not engage restoratively. Research shows the powerful influence of peer pressure on individual behavior. Because followers are social entities, the extent to which they will be approved or disapproved by their peers is a strong motivation not to demonstrate restorative behaviors. Peer influence was one factor in Wigand's initial decision not to blow the whistle that the minutes and resolutions of the tobacco conference participants were dramatically altered.¹⁴

In addition to peers, the group to which a follower belongs influences her restorative behavior. As social control mechanisms, groups affect individual behavior through reprimands, opprobrium, chastisement, and outright dismissal. The opposition of a leader in a dyadic context is not as significant as the opposition from third party actors (i.e., group members who are not directly involved in the follower-leader interface). By objecting to or not endorsing the restorative behavior of a follower, third party actors tacitly support or enable the bad influence that is the basis of a strategic follower's response.

Unlike the above three categories of factors in which the drivers are exogenous (i.e., not embedded within the relationship), the interpersonal or relationship factors are endogenous. They emerge from the follower-leader interface. One factor is the degree of control in the relationship. Control, defined as the level of power the follower can exert over the leader and vice versa, arises from diverse sources including expertise, charisma, information, and experience. To the extent that the leader is less powerful due to lack of competence, charisma, and information, a follower is likely to take action that would restore the value of the relationship.

A second factor is relational dynamics. I discussed in Chapter 2 that relationships are multiplex phenomena with diverse dynamics and dialectics and yield different benefits to constituents. Dynamics reflect the reality

that relationships are characterized by varied experiences, uncertainties, and contrasts that pose difficulties, impairments, and inherently negative relations. A follower's ability to restore the value of a relationship depends on how she is able to regulate and adapt to the contours of the relationship. The dialectics of follower-leader relations (integration-separation, stability-change, and expression-privacy) affect the restorative behavior of followers. They make strategic followers who are wary of separation or change to go with the status quo or to avoid rocking the boat. Contradictions within the follower-leader relationship (connection-autonomy, predictability-novelty, and openness-closeness) contrast with the external dialectics of inclusion-seclusion, conventionality-uniqueness, and revelation-concealment. The ambivalence of these contradictions delay or prevent a restorative response.

Another factor is the structure (system of representational roles between the parties) of the relationship, which directly induces followers to endorse or oppose restorative behaviors. One structural characteristic, relationship complexity, affects the behavior of restorative followers. Relationships require differentiation on one hand, and integration on the other, of personal, task, and contextual issues that impinge upon the union. The complexity of interactions between leaders and followers, termed interactional complexity, refers to the extent to which leaders and followers process cognitive, affective, and behavioral information, consistent with the relationship environment. It is a part of social complexity, the perception and decision-making in the follower-leader relationship. If followers and leaders can differentiate personal from interpersonal as well as integrate social dimensions in the relationship, they are likely to sustain the relationship.

A fourth factor is relationship governance. Governance specifies the mechanisms that define the roles and responsibility of the parties and the conditions that ensure effective functioning of the relationship. It includes the guiding psychological dispositions of the follower and leader, two of which are accepting (e.g., need for the relationship) and terminating (e.g., withdrawal from the relationship) conditions. One major governance mechanism that influences restorative followership is the norms of the relationship. According to symbolic interactionism, modes of social interaction and relationship dynamics show that active interaction between individuals relies on symbols and pieces of meaningful information, as well as social norms that help to define the context and nature of a transaction between individuals. Social norms are regulative mechanisms that define the modes of interaction between leaders and followers in a relationship. They specify the standards or rules of acceptable behavior. Given that social norms restrict followers from overtly challenging their leaders

or damaging relationships with their leaders, they induce followers to resist the negative influence of leaders.

As individuals, both the follower and leader can affect restorative response. First, the personal values of the follower determine his/her restorative behavior. Evidence suggests that followers' personal values drive their behaviors, and some followers often ally or enable bad influence as a consequence. In other words, followers can contribute to value diminishment. As I argued in the introductory chapter, this book does not focus on such followers; the lens is directed at those who facilitate value enhancement. Followers who have positive personal values view relationships with diminished value as unwholesome and respond affirmatively. The personal values of Hodler of the IOC were instrumental in his restorative behavior. As a former athlete and Olympian, he could not bear the degradation of the Olympic ideals.

Second, the morality of a follower also causes her to resist by engaging in restorative actions. A follower's action may drive her to restore a relationship with diminished value. Another driver is self-reflected impact; a follower who is concerned that the continued value diminishment might reflect badly on her is likely to resist bad influence. In other words, she may act to halt or improve the situation so as to prevent negative boomerang effects. Regret that affects a follower's restorative response has been observed in disciplines such as marketing, social psychology, economics, and management as influencing individual behavior. In post hoc reflections over bad incidents, some individuals regret that they did not act to stop an abuse, for example. A follower who may regret later acts now to prevent further relational damage.

Third, when a relationship begins to decay, it initiates a quest on the part of a restorative follower to understand reasons for the diminishing value. A strategic follower tries to make sense of the situation. Through that sense-making, she discerns the depth of the decay as well as when she should "intervene." The process by which people give meaning to experience (i.e., sense-making) occurs when followers try to understand the degradation of the relationship or the bad influence of the leader. Through identification, retrospection, ongoing extraction of cues, and plausibility of events, a follower understands the progression of the relationship before enacting restorative behaviors that can halt the decay.

Fourth, just as identification can draw a follower toward a good leader, disidentification can draw a follower away from a bad leader. Disidentification is the process by which a follower refuses to connect with a leader. It is a form of resistance that comes from disapproval of the leaders' behavior. Strategic followers who disapprove leaders' behavior do not stop there; they follow through by acting to restore the value of the

relationship. Because they have a need to identify, they behave restoratively so as to generate a new state that will assist their identification.

Besides the follower's individual characteristics, the leader's characteristics enable restorative behavior. One major thesis of this book is that the bad influence of the leader drives a follower to behave strategically. The leader's behavior, the extent to which it diminishes the relational network value (i.e., value to constituents in the relationship network), is therefore a major factor. Behaviors that diminish the relational network value include unethical actions such as profligacy, harassment, corruption, and contempt. Strategic followers who observe such behaviors are driven to restore the relational value.

Furthermore, the leader's accountability determines restorative behavior. Where accountability is high, a leader does not give "cause" to a follower to "intervene." However, when a leader is not accountable either due to self-determination or due to lack of regulative mechanisms, a strategic follower acts to restore value when the leader's influence is negative. Samaranch of the IOC seemed to think that because he had previously done an excellent job in the initial stages of his tenure, he was not accountable to anyone since he was the overall boss. As a result, he overlooked or even condoned some of the corrupt practices at the IOC. That was a contributory factor to Hodler's restorative behavior.

Finally, leaders who are open enable followers to share their opinions, knowledge, and information. Restorative followers are given the opportunity to iron out issues with the leader. Those discussions are a weak form of restorative behavior, as I discuss below. They contrast with outright rejection or vociferous resistance, which is strong-form resistance. The openness of Kenneth Lay of Enron may have been a factor for the weak-form restorative behavior Watkins demonstrated, as manifested in her e-mail to him.¹⁵

Forms of Restorative Behaviors

The above discussion centers on the drivers of restorative behaviors. Their effects, however, differ in strength. Some drivers have weak effects while others have strong effects. Drivers with weak effects indicate weak-form restorative behavior, while those with strong effects indicate strong-form restorative behavior. The strength of the effects, measured by their spread, may be limited to a few constituents (weak-form) or large number of constituents (strong-form). When a follower behaves restoratively but the constituents impacted by that behavior are very limited in number, then the strategic action is a weak form. Because the restorative behavior affects

a limited number of constituents, there is potential for repetition of the bad behavior that necessitated the restorative followership action. For example, if a follower reports an unethical behavior to only the supervisor, the unethical behavior may be repeated either due to replacement of the supervisor or due to corruption of the replacement. Metaphorically speaking, weak-form restorative behavior is a Band-Aid; it merely covers the wound but does not heal it. In contrast, the strong form is curative; it is an ointment that heals the wound. There is more social control in the large number of constituents. That social control ensures that bad behaviors are not repeated. The constituents also monitor the source of the bad influence so as to prevent a repetition. The monitoring leads to changes of the leader's behaviour, and goads the follower's restorative behavior.

Which drivers then are related to weak-form restorative behavior and which ones are related to strong-form restorative behavior? Community and institutions are associated with weak-form restorative behavior, while media and culture are likely to be associated with strong form. For organizations, culture and structure are associated with weak-form behavior, while change and risk drive strong-form restorative behaviors. At the relationship level, uncertainty affects weak-form behaviors, while control influences strong-form behaviors. Self-reflected impact, regret, and sense-making tendencies of followers drive weak-form restorative behaviors, while moral action, disidentification, and personal values drive strong-form behaviors. For leaders, openness and opportunity may drive weak-form behaviors. Strong-form restorative behavior depends on accountability and behavior of the leader. Strategic followers who perceive leaders as lacking accountability resort to strong-form restorative behavior because weak-form behaviors are perceived as ineffective.

Consequences of Restorative Followership

Restorative followership generates restorative value. By acting to restore the value of the relationship (i.e., move up the value curve), followers generate outcomes that improve not only the relationship but also value to themselves, the leader, as well as the coworkers, organization, and society (see the scaffolding model). The overarching outcome, restorative value, cascades across the various levels. Value represents "worth," which varies as a function of the constituents of followership—society, organization, interpersonal or coworker, relationship, and individual. Restorative value (i.e., positive outcomes) is expressed as a network where follower value is linked to leader, relationship, coworker, organizational, and societal values. The outcomes a follower achieves from restorative behavior are not limited to

that individual; they also cascade to other constituents. Follower value is strongly tied to leader, relationship, coworker, and organizational values but weakly linked to societal value because it is indirect.

At the individual level, restorative followership enhances the development and learning of followers and leaders. Followers learn when their behavior yields positive outcomes, which reinforce their competence or ability to resolve a problem. Such learning buttresses their social competence. In addition to learning, it enables them to develop. One driver of development across the life cycle is the ability to respond accurately or appropriately to social situations. Followers who behave restoratively improve their capabilities and gain knowledge that facilitates future interactions. It also enables them to respond effectively to future problems. The ability to resolve problems, social or otherwise, is an asset that is leveraged for career mobility. Organizations generally prefer individuals who can resolve problems. In other words, restorative behavior transforms followers from ordinary to extraordinary (see Chapter 5). It also changes bad followers to good followers.

Leaders, particularly those who are open to learning, also gain insight from the restorative behavior of followers. The perspective adopted in this book is that followers complement leaders. So, leaders who endorse that view are able to learn from the behavior of followers. The mechanisms, techniques, and resources that the follower uses to generate the restorative value can be learned, and the knowledge applied to other social contexts to enhance the leader's effectiveness. Similar to the follower, such learning enables the leader to develop. The restorative behavior can also be adopted or transferred to other contexts.

Furthermore, restorative behaviors affect the relationship between a follower and leader. A subordinate and supervisor in a department tend to have relatively long tenure. As a result, the relationship and its functionality become important to both the follower and leader. Restorative value enhances the satisfaction of both (but particularly the leader) as well as the relationship. The satisfaction not only sustains the relationship but also improves interactions between the follower and leader. Restorative behavior moves the relationship to a higher plane and thereby magnifies the standing of both the follower and leader.

Another constituent affected by restorative followership is coworkers. Coworkers affect the restorative behavior of followers through approval; so too can the latter impact coworkers. First, restorative behavior earns the trust of coworkers. The actions of a follower endear them to coworkers. Rather than alienation, coworkers draw followers to their circle. Further, restorative behavior is a supportive mechanism that enables coworkers to undertake a venture. Workers depend on one another for support;

the behavior of a restorative follower supports that of coworkers when it validates the latter.

Restorative behaviors impact organizations when they generate climatic, learning, and productivity value. Climate, positive perceptions of employees in the organization, manifests when restorative behaviors result in positive change in the organization. Because restorative followership is positive, it is oriented toward enhancing the perceptions of employees about subordinate-supervisor relationships. Supervisors view their subordinates as contributing to creation of positive work climates. The literature shows a relationship between employee behaviors and organizational climate. Followers who generate restorative value induce perceptions of positive relationships within organizations.

Learning value derives from the feedback that restorative behaviors yield, which organizations leverage to improve social interactions among employees. Organizations learn not only by observing behaviors of competitors but also by appraising work processes and interactions of employees. Supervisor-subordinate relationships are fodder for the learning canons. The restorative behavior of followers is modeled by other subordinates and supervisors.

Restorative behaviors often involve relationships in which followers directly engage in productive activities. For example, subordinates who work with contract supervisors generate deals or contracts by behaving in ways that restore relationships. Besides these, the subordinate-supervisor relationships within organizations are embedded with productivity. The follower's work effort is enhanced by her productivity, which contributes to the organization's productivity. Other outcomes, albeit indirect, include enhanced productivity of coworkers, which in turn augments organizational productivity. As I indicated in Chapter 3, the perspective adopted in this book is one of relational value network such that the restorative acts of a follower diffuse to constituents in the relational network.

Organizations and societies are interconnected through networks of regulations, labor force, resource deposits, etc. Further, modern demands of corporate social responsibility invigorate that linkage. As a result, outcomes of organizations often affect societies through spillover or transfer. The restorative behavior of followers therefore cannot but affect societies. Had a follower in BP reported the problems prior to the oil spill, it is likely the communities of New Orleans, Mississippi, Alabama, and Florida would probably not have been negatively affected by that environmental disaster.¹⁶ In other words, the well-being of societies depends on restorative behaviors of followers.

Another outcome to society is equity or fairness. Fair treatment of individuals percolates through the society when the restorative behavior of

a follower is modeled. Fairness manifests when the restorative behavior redresses some potential or actual injustice. Such behavior prevents harm from a supervisor's community-directed destructive behavior. Another outcome is order: restorative behaviors are oriented toward salvaging bad or potentially destructive actions, actions that create chaos. By forestalling them, a follower helps to establish social order. Of course, societal outcomes are distal in contrast to organizational outcomes, which are proximal, and individual outcomes, which are core. All the outcomes may thus be viewed as a series of concentric circles.

Contingencies of Restorative Followership

In restorative followership, a follower acts to restore diminished value. What conditions then enable a follower to effectively restore the value of the relationship? The first major factor is environmental beneficence. By beneficence I mean the extent to which the relational context is endowed with features that support restorative followership. Similar to beneficent environments that enable organizations to fulfill their strategies, beneficent relational environments allow followers to strategically respond to bad influence. The second factor is the kind of (good or bad) leadership. It is only bad leadership that calls forth restorative behaviors; good leadership calls forth transcendent followership, as I discuss in Chapter 5. As Kellerman indicates, bad leadership manifests in two major forms—ineffective or unethical. Unlike unethical leadership that calls for speedy restorative behaviors, ineffectual leadership may drag out restorative followership. A follower in the latter context waits for an ineffective leader's time (i.e., contract) to expire. The consequences of unethical leadership are relatively more severe than ineffectual leadership situations which are merely aggravations. The third condition that facilitates restorative followership is capacity, the ability of a follower to restore the value of a relationship. Followers with high capacity or capability have not only moral resources but also psychological, social, and even economic resources to respond to ineffective or unethical leadership. Individuals with low capacity are unable to withstand the pressures associated with restorative behavior.

The above discussion suggests that there are diverse conditions that hinder or enable restorative behavior. They can be categorized into four, based on the interaction of two major factors: the environmental context of the restorative situation and the follower's capability. Beneficent environmental contexts are favorable conditions that enable restorative behaviors while maleficent contexts are unfavorable conditions. In the same vein a

follower's capability could be strong as to facilitate it or weak as to hinder it. A follower's capability in the area of morality, knowledge, information, experience, or any other attribute of relational competence is instrumental to the effectiveness of the follower. The interaction of these two dimensions results in four conditions: leverage, vulnerability, constraint, and problem.

Leverage conditions arise from the interaction of beneficent environmental contexts and strong follower capability. In leverage conditions, the follower has strong capability, which matches the beneficent environment. As a result, the follower is able to enact restorative behaviors that improve the relationship. Restorative value in that condition is therefore greater than 1. In other words, the difference between the state of the relationship prior to and after the restorative behavior is greater than 1. Recall that the maintenance followership zone is anchored in -1 to $+1$. Strategic values that fall above that range are positive. Leverage conditions are therefore enhancers.

The vulnerability condition results from the interaction of maleficent environmental context and strong follower capability. A follower has the requisite, if not, superior competences to enact restorative behaviors but is snagged by the bad environmental context. The maleficence of the environmental context hinders improvement or restoration of the relationship even if the follower has strong capabilities. Restorative value under such circumstances is either equal to or greater than -1 . It is greater if the capabilities of the follower are used to overcome the maleficent environment.

Constraint conditions emerge from the interaction of beneficent environmental contexts and weak follower capability. Even though the environment is good for restorative behavior, the follower lacks the requisite competence to take advantage of the opportunity. Restorative value under those conditions may be equal to or less than 1. It is equal to 1 if the beneficent environment enables the follower to enact the requisite restorative behaviors despite her weakness. Both constraint and vulnerability conditions are substitutes.

The fourth type is problem conditions. They contrast with leverage conditions and may be neutralizers. They represent conditions in which the environment is maleficent and the follower is weak. The weak capability of the follower means that she cannot overcome the maleficence of the environmental context. So, she has a major problem. Restorative value in that condition is therefore less than -1 . To the extent that the follower cannot enact behaviors that would uplift the relationships, the follower is at best not aggravating the value diminishment that characterizes that state.

Summary

In this chapter, I discussed how followers contribute value by restoring damaged follower-leader relationships. I focused on the drivers, outcomes, process, and conditions of restorative followership. The strategic value of restorative followership manifests through the restoration of relationships. In contrast to bad leadership that results in value decrements, restorative followership results in value restoration. I also discussed the drivers, outcomes, and conditions that facilitate or inhibit restorative followership. The drivers and outcomes range from individual followers and leaders through relationship, organizational, and societal factors. The conditions that emerge from the interaction of environmental and follower capability enhance the understanding of restorative followership.

Transcendent Followership

One perspective of followership is that followers should be viewed as equals in their relationship with leaders. They can behave badly or well in much the same way as leaders can behave badly or well. When leaders behave badly, good followers act to restore the relational network value (see Chapter 4). In this chapter, I focus on followers who act to advance the relational network value without depraved situational triggers. These followers are extraordinary in the sense that they demonstrate transcendent behaviors. Transcendent behaviors are not the same as exemplary behaviors; they are higher. A search on the Internet for transcendent behavior of employees did not show a single instance consistent with the definition in the literature. However, a search for exemplary behaviors showed several organizations, public and private, that reward employees for such behaviors. Table 5.1 shows those behavioral attributes.

Sony rewards employees for exemplary behaviors. Those behaviors include perfect attendance, punctuality, and long service. Do these behaviors require overcoming challenges? I doubt if most people would say yes. Do they enable an employee to create or seize opportunities? How do they advance the relationship with supervisors? Most likely, the answers to all these questions are no, no, and not likely.¹ The behavioral attributes specified by Brigham Young University, University of Oregon, UC San Diego, and City of Modesto, California, are all noteworthy. What seems to be lacking are the challenges the exemplary employees encountered. In that regard, their attributes might be considered ordinary (what is required) behaviors. Even though Spectra Energy indicates that exemplary employees must “clearly demonstrate more than success or achievement,” it suggests that the values of the organization must be included in the success. Thus, an employee is exemplary only if he/she has high achievement *and* exemplifies the *values* of the company. Are employees who fulfill both requirements transcendent? No! The behaviors do not require overcoming challenges

Table 5.1 Summarized attributes of exemplary employees from some companies

<i>Behavioral attributes</i>	<i>Unit</i>	<i>Comment</i>	<i>Source</i>
1. Exemplifies what it means to be a teacher by providing potential teaching and learning opportunity	Brigham Young University	What it means to be an exemplary teacher	http://www.byui.edu/human-resources/employee-award/exemplary-for-selecting-exemplary-employees
2. Demonstrates a positive attitude			
3. Is conscientious in performance of job duties			
4. Goes the “extra mile”			
1. Customer Service—improves quality of service to constituents	Oregon State University	What it means to be an exemplary employee	http://oregonstate.edu/admin/hr/recognition/exemplary
2. Service projects—participates in projects with creativity			
3. University service—demonstrates service to institutions beyond regular assignments			
4. Leadership—shows initiative and sets the pace in a supervisory role			
5. Mentoring—encourages and motivates other employees			
6. Self-improvement—initiates developmental activities to enhance work performance			
7. Efficiency—offers ideas that result in savings of resources			

8. Problem-solving—shows innovative resolution to problems or challenges in the department and/or university			
9. Teamwork—contributes significantly in team activities			
1. Supporting university practices, procedures, and policies	UC San Diego	What means to be an exemplary employee	http://blink.ucsd.edu/HR/benefits/work-life/quality-index/exemplary/index.html#Program-guidelines
2. Innovation and proactive leadership			
3. Extraordinary service to community			
4. Substantial cost-effectiveness			
5. Building relationships/partnerships			
1. Leadership	City of Modesto, California	Standards for exemplary employees	http://www.modestogov.com/hr/erprogram.asp
2. Innovation			
3. Partnerships			
4. Systems			
5. Service			

Table 5.1 (Continued)

<i>Behavioral attributes</i>	<i>Unit</i>	<i>Comment</i>	<i>Source</i>
1. Dependability	Yahoo Voices	One contributor, Sussy, indicates what it takes to move from a Good employee to an Exemplary employee.	http://voices.yahoo.com/what-makes-good-employee-exemplary-employee-246122.html?cat=31
2. Trustworthiness			
3. Confidentiality			
4. Manageability			
5. Teamwork			
6. Participation			
7. Training and education			
8. Keep communication lines open			
9. Gossip			
10. Careful with humor			
11. Upbeat			
1. Perfect attendance	Sony plants in Nuevo Laredo	Recognition awards for exemplary behaviors	http://airwolf.lmtonline.com/lmtbodyarchive/063008/jrnl4.pdf
2. Punctuality			
3. Long service			
4. Passion			
5. Loyalty			
6. Work-oriented commitment			

1. Kind demeanor	Charles County Board of Education	Recognition of exemplary employees	http://www2.ccboc.com/pr/index.cfm/2013/1/14/Board-honors-exemplary-employees
2. Demonstrates a high level of professionalism			
3. Confident			
4. Poise			
5. Positive attitude			
6. Dedication			
1. Stewardship	Spectra Energy	Award recipients must demonstrate more than success or achievement	http://www.prnewswire.com/news-releases/spectra-energy-honors-exemplary-employees-with-summit-awards-recipients-recognized-for-exhibiting-pinnacle-examples-of-company-core-values-151860805.html
2. Integrity			
3. Respect			
4. High performance			
5. Safety			
6. Win-win relationships			
7. Initiative			

and seizing or creating opportunities. This chapter discusses transcendent behaviors in the context of followership (i.e., transcendent followership).² First, I outline the paradigm undergirding transcendent behavior.

Paradigm

Deviance. You will recall from Chapter 3 (figure 3.1) that transcendent followership is based on positive deviance. Such deviance is oriented toward promoting or advancing the relationship followers establish with leaders. In contrast to restorative followership, transcendent followership is not post hoc role enactment or reactive; it is proactive in the sense that a follower anticipates the needs of the relationship and acts to move it to a higher level despite challenges.

Condition. Transcendent followership is conditioned on uberty. A follower infuses a relationship with abundance. Because uberty is created through enabling mechanisms, any of the major factors—leader, follower, and relationship—can facilitate that condition. A follower strives to proffer means by which she and/or the leader can elevate the relationship to an even higher level. Transcendent followers exert tremendous effort to advance the relationship to a superior level.

Worldview. The outlook the follower develops about the relationship in the uberty condition is one of excellence. Her contribution is to take advantage of the opportunities so as to propel the relationship higher. The resources—personal and collective—that have to be harnessed to excel are significant. A transcendent follower marshals those resources to uplift the relationship. This worldview affects *what, how, when, and why* a follower expends resources to enable the relationship achieve extraordinary outcomes.

Orientation. The positive deviance state is characterized by an orientation toward transcendence. The follower endeavors to achieve extraordinary outcomes for the leader, relationship, and other stakeholders, exceeds demands, overcomes major challenges, and creates or seizes opportunities. These require extraordinary effort but they also lead to extraordinary outcomes, one of which is advancement of the relationship.

Expectations. Expectations are endemic to relationships and therefore a part of strategic followership. The major expectation associated with transcendent orientation is generativity, a concern for others that is developed as part of the relationship due to the need to nurture and guide the relationship to advance in a very meaningful way. A strategic follower who is concerned about the advancement of the relationship strives harder to meet those expectations. In contrast to restorative followership, transcendent followership requires that followers not only meet but exceed expectations. The existence and nature of the expectations matter because

the follower's contribution is based on meeting those expectations. However, the degree to which the follower meets those expectations is more important in transcendent followership; the follower has to exceed the expectations to qualify as extraordinary and thereby distinguish herself from an ordinary follower. Thus, the expectations determine how a transcendent follower will respond to a situation.

Response. The discussion on the significance of responses in strategic situations suggests that strategic responses are often counteractions to pressures. For effective followership, positive responses such as yielding and endorsement are associated with greater value. The responses of followers in this state vary from passive to active (see figure 3.3). The major response is what I call creative compliance, adherence to an order that differs positively from what the source of the compliance demand anticipated. In that regard, it enhances (i.e., exceeds) the expectations of the leader. For example, a subordinate who has just been bereaved and not only agrees to represent a supervisor at a major contract deal but also gathers requisite information that leads to winning that contract demonstrates transcendence. It is a form of creative deviance, but does not focus on only new ideas.³

Value. The framework suggests that positive deviance is characterized by value enhancement. At the initial stages of good influence, value enhancement is low. However, as the influence increases, value enhancement increases. It peaks at some point even though that stage is a function of several factors including the munificence of the relationship environment, power of the leader, type of followers, and organizational attributes. For a strategic follower, that peak, indexed by the descent of the value curve, is due to several individual factors. The ascent of the relationship is the threshold of transcendent followership; it is when a strategic follower initiates behaviors that enable the relationship to flourish. I discuss below that the follower creates positive experiences for the leader and herself in that stage (figure 5.1).

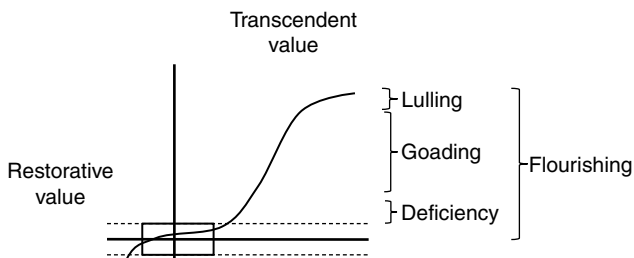


Figure 5.1 Value curve of transcendent followership

A follower's role in transcendent followership is to enable the relationship to excel or flourish. Strategic actions that contribute value are elevating behaviors; they yield meaningful and long-term outcomes to stakeholders. Such behaviors keep at bay problems that can diminish the value of the relationship. The actions move the relationship up the value curve (see also figures 4.1 and 3.1).

Similar to restorative value, which occurs in stages, transcendent value occurs in stages. Transcendent value focuses on flourishing behaviors. Thus, the first component is the awakening or realization of deficiency. It is the point at which the follower realizes that she has to "start the excellence engine." It is knowledge on how to facilitate the thriving of the relationship. The second component is goading. The goading stage focuses on what happens when positivity is present: there is excellence of relationship processes and outcomes. Similar to the energizing potential associated with a plant gaining light, positivity infuses energy that goads the follower to exuberance or an energized state. Such energy enables the follower to overcome challenges and to seize opportunities. In other words, she achieves extraordinary outcomes that increase the strategic value of the followership. The third component, lulling, centers on the peak. Transcendent value is not interminable; the persistent increase is bound to slow or end. Lulling occurs when the goading effect of positivity wanes. It recognizes the generative dynamics of humans. In sum, transcendent value is a series of values (flourishings) that are engineered to grow from minimizing deficiency to maximizing goading. That value emerges from the transcendent behavior of followers.

Transcendent Behavior

Bateman and Porath define transcendent behavior as self-reliant behavior that overcomes constraining personal or environmental factors and effects extraordinary (positive) or constructive high impact change. Behavior is transcendent when it overcomes environmental pressures and personal limitations to generate hitherto-unexpected outcomes for relationship and/or organization. Transcendent behaviors include decisions that optimize goals (e.g., ethical decisions and creative strategies) and effort or task performance that is uncommon due to a follower overcoming previous task, environmental, or personal challenges. Bateman and Porath propose that a number of drivers including intrinsic motivation and goals, self-control, self-management, decision-making processes, positive cognitions, emotions, self-efficacy, strategic planning skills, and virtues determine transcendent behaviors. Research also shows that transcendent

behaviors contribute to organizational, interpersonal (e.g., turning crisis into opportunities), and personal (e.g., accept challenges others avoid) effectiveness.

Dimensions. There are three major dimensions of transcendent behavior. First, there are hurdles or challenges that have to be overcome. Those hurdles may be small or large. However, large hurdles tend to lead to greater transcendence than small hurdles. Large hurdles are weighty and therefore attest to the strength of a person to overcome them. Transcendent behaviors are often activated. That activation drives a follower to overcome challenges that might impede seizure of opportunities. The ability to overcome hurdles distinguishes ordinary from extraordinary followers. Extraordinary followers leave no stone unturned to improve situations. An example is Doyle, 32 years old and a construction worker. While removing a junction box from a conduit containing a live, 240 volt line during his work in an office building on asbestos abatement, he was shocked while holding the conduit. A coworker, Richard Brian Andrade, 32, asbestos worker, was standing about 10 feet away and saw that Doyle was frozen in place. Concluding that Doyle was being shocked, Andrade ran to him and attempted to tackle him to break his hold of the conduit, but Doyle did not release it. Andrade then grasped the conduit and shook it free of Doyle's hold. Doyle fell to the floor, unconscious, and Andrade sustained an electrical burn to his right leg before he could release the conduit. Andrade revived Doyle and called for help. Both men were taken to the hospital for treatment of electrical burns, and Doyle was treated for a laceration to his head.⁴ Andrade could have been a leader.

Another example is Steven Bradley Estes, 40, a manufacturing supervisor from Hartselle, Alabama, who discovered a fire in a mobile home. Despite dense smoke filling that room, Estes crossed it, tracing the person's voice to his bedroom. Estes went to the floor to avoid inhaling smoke, lifted the person from his bed, and carried him into the living room and toward the front door but before reaching it collapsed to the floor. Both were dragged out by an officer.⁵ Estes could also have been a leader to the person.

Andrade and Estes overcame different hurdles in their extraordinary acts. Other hurdles that impede followers' advancement of relationships include obstruction, resources, information, and technology. Obstruction occurs when bad supervisors or their supporters snag efforts of followers to improve situations. A variety of reasons account for the snags but the function is prevention of the follower's anticipated action. A social hurdle that followers have to overcome is behavioral integrity. Recent evidence in Wall Street suggests that traders, though acting for their organizations, tend to be opportunistic, untrustworthy, and cunning with their stakeholders,

attributes that contravene transcendence. As a hurdle, behavioral integrity blocks followers and drives them to contravene their explicit function of increasing shareholder returns. Some employees took personal and career risks to change the behaviors that lead to the stock market crash.⁶

A second dimension is decisions, representations, or moral beliefs that people appeal to as the ultimate rationale for their actions. Examples include schemas and bricolages. Schemas are cognitive scripts that followers use to relate in the real world. They are guides to behavior. Schemas are more important in transcendent followership because of the excellence or extraordinary motif. They do not merely guide a follower on relating; they guide her on how to overcome the hurdles, plan, and act promotively. Bricolage refers to the structure or mixture of ideas generated by followers. In order to maximize the desiderated outcomes, transcendent followers consider not just a few but multiple and diverse ideas. You will recall in the Introduction my vignette about Mr Okranie whose questions inspired this book. When I questioned Mr. Okranie about how he advanced his department despite the obstruction from his supervisor and other departmental colleagues, he responded that it was a mixture of approaches conceived in talking to friends and other directors.⁷ Both schemas and bricolages are mechanisms by which followers make decisions.

The third dimension is actions, the uplifting behaviors of individuals. Transcendent actions are superior; they are uncommon in their essence. An example of uplifting behaviors is courageous principled action, a courageous behavior that is chosen based on a strong ethically principled standard (see section on prototypic behaviors for an elaboration).

States of Transcendent Followership

Is there only one way by which followers demonstrate transcendence? Certainly not! There are many ways. Besides the varying degrees of extraordinariness, there are also varying contexts that call for extraordinary followership. This is because there are numerous types of relationships. In this book, I categorize them as restorative (those demanding the restorative capabilities of a follower) and transcendent (those demanding the transcendent capabilities of a follower). Just as there are diverse states in the former, there are also diverse states in the latter. What then are the states of transcendent followership?

Followers do not behave the same way toward strategic situations primarily because of the characteristics of each situation and the functions of transcendence—connection and meaning. In order to identify states of transcendence, it is therefore important to consider the situations that call

for the major functions of transcendence. Transcendence generally focuses on establishing connection and meaning. One establishes connection when it is lacking. Situations that lack excellence are characterized by deprivation while those that lack superior value are devoid of meaning. Deprivation therefore is a general term used to represent a lack or gap in the relational network. Recall that I have defined relational value from a network perspective where the value created by followership spreads beyond the leader directly involved in the relationship to the constituents affected by the relationship. The deprivation may center on the individual actor in the relationship or the collective as with all constituents in the relational network. Similarly, meaning, defined as significance of a relationship, may center on the individual actor or the relational network. The extent to which they establish meaning and connection for individuals and collectives in the short or long term and for the present or future (time) indicates the state of transcendence. The effect can be ephemeral or enduring and for the present or future. The combination of these dimensions results in four types of transcendence—performative, constative, substantive, and generative—that range in degree of coverage from narrow to broad (see figure 5.2).

Performative transcendence refers to meaning and connections that are for the present and yield less enduring outcomes. It is excellence that is merely expressed or enacted for the moment. Its effect is limited in time and significance. It might be focused on addressing individual deprivation and meaning.⁸ A follower strives to yield excellent outcomes for actors in the immediate relationship. A subordinate whose actions generate excellent outcomes solely for a supervisor reflects performative transcendence. More concretely, a subordinate who constantly provides essential information, strategies, and support to a supervisor advances the competence of the latter performatively.

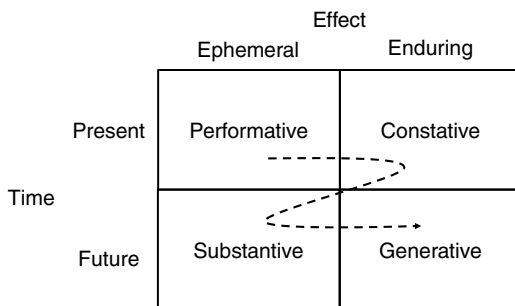


Figure 5.2 Types of transcendent followers

The relational characteristics—anchorage, shared understanding, interactions, strategic decision-making, and strategic behavior—emphasize need for individual connections and meaning. A follower strengthens the relational anchorage by focusing on the personal connection needs of the leader or the relationship. She strives to reach understanding with the leader to enhance the meaning of the relationship. The interactions promote deeper connections with the leader and involve other actors who can increase the significance of the relationship to the leader. Decisions made by the follower are intended to enable personal meaning. As a result, she focuses on the positive elements that magnify the meaning of the relationship. Strategic actions of the follower are limited to the core actors in the relationship, and individual or interpersonal norms regulate strategic behavior.

Constate transcendence yields more enduring outcomes. It is relatively higher than performative transcendence because it moves beyond individual deprivation to collective meaning. Constate transcendence generates extraordinary outcomes that eliminate not only individual deprivation but also broader collective meaning. Take for example a CEO who is severely handicapped by his newness in the job. A follower's transcendent behavior benefits the CEO as well as the organization as a whole. Relational anchorage is narrow because the deprivation focuses on individual needs. A follower strengthens the relational anchorage by focusing on the collective connection needs of both the follower and leader. As in performative transcendence, she strives to reach understanding with the leader and other relational network actors to enhance the meaning of the relationship. The interactions are intended to advance deeper connections with the leader and may involve other actors who increase the significance of the relationship with the leader. The decisions made by the follower focus on enabling collective meaning. As a result, she focuses on the positive elements that magnify the meaning of the relationship for the group (i.e., relational network or organization). Strategic actions of the follower are not only limited to the core actors in the relationship but also extend to the group. Finally, collective norms regulate strategic behavior.

Substantive transcendence is also higher than the previous two because its outcomes move beyond the present to the future. It generates extraordinary outcomes that eliminate collective deprivation but yields meaning for individuals that last beyond the present. Take for example an organization that is handicapped by its parochial values. A follower's transcendent behavior affects the organization and through that generates meaning for individual employees on what types of values to behold. Relational anchorage is broader because the deprivation focuses on collective (i.e., organizational) needs. A follower strengthens the relational anchorage by

focusing on the individual connection needs that link individual employees to the organization. She fosters shared understanding within the relational network to generate meaning for individual members. Interactions advance deeper connections with relational actors, especially those who can increase the significance of the relationship to current individual members. Decisions made by the follower focus on facilitating collective linkages to generate individual meanings. Actions are directed toward both core and peripheral actors in the relationship. Both collective and individual norms regulate the follower's strategic behavior.

Generative transcendence is the highest; it yields extraordinary outcomes that eliminate collective deprivation and generate collective meaning across generations. It has more enduring effects. A follower's transcendent behavior affects the organization and through that generates meaning for the organization in the future. In other words, the follower's behavior transforms the organization through modeling of attainable extraordinary outcomes. Relational anchorage is broader, partly because the deprivation focuses on collective (i.e., organizational) needs. A follower strengthens the relational anchorage by focusing on collective connection needs and generates collective meaning. She fosters shared understanding within the relational network for that reason. The interactions advance deeper connections with relational actors, especially those who increase the significance of the relationship not only for individual members but also for the collective unit. The decisions made by the follower focus on facilitating collective linkages to generate collective meaning. The follower directs her actions toward both core and peripheral actors in the relationship. Finally, collective norms regulate the follower's strategic behavior.

Transcendent Followership Process

The above types of transcendence states involve a process. As depicted in figure 5.2, the process commences with activation, and goes through hurdling and decision optimization, to extraordinary effort. Unlike restorative followership that is activated by value diminishment, transcendent followership is activated by individual values and morals to improve individual or collective situations. Activation is energetic arousal that propels followers to overcome major or uncommon challenges or hurdles. Hurdling refers to the degree to which a follower overcomes challenges such as sabotage, punishment, alienation, rejection, and outright ban that impede relational and organizational advancement. Followers have to overcome them to contribute something meaningful to the relationship. The whistle-blower literature is replete with examples of deliberate snags being

put in the way of well-meaning employees who want to promote positive outcomes or changes.⁹

After overcoming the hurdles, transcendent followers make decisions on how much effort to expend to achieve the extraordinary outcomes. Those decisions are optimized; followers thoroughly consider the pros and cons of the anticipated extraordinary effort that is required to yield superior outcomes. In addition to evaluation, transcendent followers plan for major as well as minor constraints, secure essential resources to facilitate implementation of the decision, and appraise *a priori* likely failures. They engage in what is called *premortem*, an *a priori* assessment of a “failed” outcome. As a positive deviance technique, the *premortem* enables followers to legitimize doubt, reexamine previously taken-for-granted assumptions, eliminate or reduce overconfidence, and enhance the efficacy of the follower. Optimal decision-making leverages cognitive capabilities of followers, minimizes risks of failure, and lays foundation for mobilization of resources for extraordinary effort.

The decisions then lead to the extraordinary effort essential to generate superior outcomes. Extraordinary effort manifests through temporal, economic, human, and social resource mobilization and via intrapersonal attempts and interpersonal attempts. Followers self-mobilize when they, through introspection, marshal psychological and competence resources to ensure that a previously unattainable outcome is achieved. Interpersonal mobilization involves harnessing of social and kinship networks as forms of collective energies to enable a follower achieve her goal. The demarcation between ordinary and extraordinary effort is a function of judgment. Nevertheless, an effort is ordinary if it is not exceptional or is not distinctive in its breadth or depth. It is a “heroic” action that has very few or no exemplars.

Prototypic Transcendent Behaviors

Behaviors that result in extraordinary change are prototypically transcendent. They include principled courageous action, personal initiative, issue selling, taking charge, and proactivity. *Principled courageous actions* are drawn from intuition, feeling, and knowledge that is generalizable and situated within the context of the follower-leader relationship. Because such actions are often difficult, opposed, and unpopular, they require followers to overcome challenges. Followers who demonstrate courageous principled actions are guided by the highest individual sense of moral values. Courageous behaviors result in a sense of personal integrity and thriving because they are characterized by efforts to be productive, make

contributions, and help others. Courage has three forms: physical, moral, or relational.¹⁰ While physical courage does not require any adherence to principles, values, or working for the good but merely entails risk assessment, acting based upon that risk assessment, and enduring the hardships that are a consequence of the corresponding actions, moral courage centers on the ability to overcome the fear of shame and humiliation in order to admit one's mistakes, to confess a wrong, to reject evil conformity, to denounce injustice, and also to defy immoral or imprudent commands. Relational courage is a capacity to withstand the challenges of relationships such as mistrust, concealment, guile, and unfairness. Physical, moral, and relational courage enable followers to excel in their roles.¹¹

Personal initiative manifests when a manager takes an active and self-starting approach to relational welfare and goes beyond what is formally required in addressing relational problems and needs. Such behavior has a long-term focus and is goal directed. The follower is persistent in the face of barriers and setback. Followers exhibiting such behaviors always plan their actions to a certain extent, although planning may take place while they are acting. Through personal initiative, followers determine how, when, where, and which actions to take to advance the relationship.

Issue selling refers to managers' behaviors that are directed toward affecting others' attention to and understanding of relational problems and needs. Followers can direct leaders' attention by providing important information about the relationship, tasks, and other executory responsibilities, framing those issues in particular ways, and by mobilizing resources and routines. However, important differences in the breadth of responsibility, functional orientation, and structural power of followers affect the time they initiate issue selling and the form that their issue-selling efforts take. *Taking charge* refers to voluntary and constructive efforts by followers to effect extraordinary change with respect to how relational problems are resolved, needs met, and agencies' well-being enhanced. As a discretionary behavior that is change oriented and aimed at improvement, taking charge involves followers rejecting and redefining relational tasks. If current structures, procedures, or policies seem inappropriate or inefficient, followers may channel extraordinary efforts toward changing rather than maintaining the status quo. Followers have to overcome relational hurdles as well as resistance from external sources.

Proactivity. Proactive behaviors are actions followers take to influence the follower-leader relational environment. Followers with the prototypic "proactive personality" are relatively unconstrained by situational forces and effect environmental and relational changes. They also identify opportunities and act on them. Further, they show initiative, take action, and persevere until they bring about meaningful change. Proactive individuals

generally take it upon themselves to have an impact on their environment. They strive to maximize generative opportunity and to transform the relationship. For example, they cocreate projects that advance organizations. Cocreation is inclusive partnership and leads to generative change. The capacity to acquire, create, expand, reconfigure, diffuse, and transform resources to achieve a relationship's goal is critical to proactivity.

Conditions of Transcendent Followership

Transcendent followership is geared toward advancement of a relationship for which the value is low but not diminished. A follower acts to elevate that value. What conditions then enable a follower to effectively advance the relational network value? In addition to the three factors I discussed in Chapter 4—environmental beneficence, kind of leadership, and capacity—sensitivity, reinforcement, and operance (without conscious consideration) facilitate transcendent followership.

Sensitivity refers to the ability of a follower to recognize the need for advancement of the relationship. Even though it is a personal attribute in some situations (e.g., when a follower has to consider her action relative to the leader's feeling), it is used in this context from a sense-making perspective where a follower is in tune with the relational network situation. Sensitive followers recognize the need and time for advancement while nonsensitive followers do not. The latter may have to be prodded in contrast to the former, who act through self-inducement.

Reinforcement, the process by which transcendence is invigorated, focuses on intrinsic motivation. Intrinsic motivation manifests in various ways, one of which is value/usefulness.¹² A follower who is motivated to maximize the value or usefulness of the relationship strives (overcoming challenges and effort) to advance it. The magnitude of the motivation distinguishes one state of transcendent followership (e.g., performative) from another (e.g., generative).

The third condition, operance, refers to the unconscious consideration of optimizing the value of a relationship. The increasing value of the relationship reinforces a follower's efforts. Of course, it is possible that negative reinforcement (i.e., failure to advance the relational value) may dampen a follower's efforts, but it is assumed that that failure is a hurdle for a transcendent follower to overcome. Failure only reinforces the yearning to succeed in uplifting the relationship. The factor that distinguishes one state from another, however, is the degree of increased value. Greater and enduring values are more effective reinforcers than lower or ephemeral values.

Situations. Before discussing the strategies for transcendent followership, it is important to assess the situations that call for transcendent behavior. According to the strategic followership continuum (see figure 3.1), transcendence is on the positive side of the continuum. The value curve (figures 3.1, 4.1, and 5.1) also shows the contribution of followership to be above the maintenance level. In other words, the strategic value of transcendent followership focuses on the positive quadrant of the value curve and strategic behavior. The value curve suggests three major situations that call for transcendent behavior of followers. First, transcendent followership is needed at the point when the maintenance stage ends and the transcendence stage begins. For simplicity, I term it the deficiency stage (figure 5.1). The leader or supervisor may delay in initiating the value contribution process. A transcendent follower drives him/her to start the process. The second situation occurs when the value contribution has lull. The rate at which value is contributed increases at a decreasing rate. A transcendent follower who recognizes this situation intervenes to sustain the increase at an increasing rate. The plateau is the third situation. It focuses on the part that the value levels off. A strategic follower alters this by engineering and energizing a reorientation (second and third value curves). The new value curve augments the value from the previous one. It manifests when a follower offers a creative idea on how to augment the value of the relationship.

Strategies of Transcendent Followership

Unlike restorative followership that is reactive, transcendent followership is proactive. As a result, a follower devises strategies that enable her to advance the value of the relationship. Value refers to increases in productivity and gains, increases in job worth through skills upgrading; and developing a resilient and adaptive relational environment. Some of the strategies discussed in Chapter 3 that apply to transcendent behavior include support, scaffolding, modeling, and transcending. They range in intensity from low to high.

A major way a follower advances a relationship (proximal or distal) is to show support. Support is a strategy that is used to buttress the actions of and coherence with a leader. Support is thus a basic promotional device that signals interest, endorsement, and shared understanding. When a follower's support uplifts a dispirited and deprived relational partner, the value of that relationship may be deemed higher. Support is likely to be used by performative transcedents, that is, followers whose transcendent behaviors have ephemeral effects on the current situation.

The second strategy, scaffolding, focuses on establishing structures that prop or hold high a supervisor. Unlike support that is behavioral, scaffolding is structural. Scaffolding is a strategy whereby the follower structures the desired promotive behaviors with the intent of shifting responsibility to the supervisor or leader. A follower establishes structures that lift up the supervisor. For example, a follower who provides information that a supervisor uses to develop a desiderated but challenged managerial plan promotes the relationship by setting a platform for the supervisor. Scaffolding includes sharing experiences with the supervisor, mock activities that enable the supervisor to self-process new ideas and information; signaling an orientation or tendency, as well as organizers that help guide and shape the supervisor's thinking and actions. It is more likely to be used by constative transcedents, who are focused on the present but concerned about enduring effects of the relationship.

The third strategy, modeling, refers to the process by which a follower demonstrates a specific action or behavior. The extant view of leadership as shared influence between the leader and the follower suggests that the follower can model behaviors for the leader in much the same way that the leader can model them for the follower. A follower models the desired behavior by knowing the goals of the supervisor, gathering information, generating expectations, and drawing up support plans, demonstration, and evaluation. He/she may also monitor the relational environment to enable him/her make adjustments in or strengthen the pillars of the relationship. In other words, through communication and actual behaviors, a follower demonstrates how to achieve extraordinary outcomes in the relationship.

The fourth strategy, transcending, focuses on excelling or being a consummate follower. It is a demonstration of a follower's utmost capability. As the epitome of all the other strategies, transcending combines the previous three. The significance of this strategy is high; a leader observing it cannot but fuse with the follower. At the same time, it differentiates the leader who cannot exhibit such strategy from the follower. Transcending differentiates the follower from but integrates her with the leader.

Drivers of Transcendent Followership

As in restorative followership, the drivers of transcendent followership are internal and external factors that propel a follower to behave transcendently. They affect the effort of a follower to achieve extraordinary outcomes for the relationship. We saw in Chapter 4 that outcomes

of restorative followers depend on a number of factors. Similarly, the extraordinary outcomes of transcendent followership depend on individual, group, organizational, and societal factors. At the individual level, intrinsic motivation, goals, self-management, future time perspective, positive cognition, and virtues determine transcendent behaviors. *Intrinsic motivation* is a personal interest and characteristic of the relationship in which the follower is engaged. It encompasses feelings of enjoyment, interest, challenge, and flow. Followers who have the inherent tendency to exercise their capacities, explore, and learn are likely to behave transcendently to advance the relational value of the relationship. Flow, an optimal psychological experience that is characterized by feelings of happiness, excitement, and concentration, arises when followers encounter challenges that fit with their abilities.

Goals, objectives that followers seek to achieve, are vital to transcendence. Challenging goals, such as advancing the value of a relationship, drive followers to demonstrate extraordinary effort and to create constructive change to fulfill needs such as relatedness, competence, and autonomy. Social goals, for example, are objectives of participation in a group (i.e., dyad) in the context of a two-person relationship. That desire to participate leads to greater satisfaction. Social goals are inhered in positive deviance which refers to intentional behavior that departs from norms to advance relational value, and generativity defined as behaving out of concern for the growth of others and oneself. Followers who are motivated by social goals strive to overcome hurdles and to demonstrate extraordinary effort to advance relational value.

Self-management, the process by which a follower guides his/her goal-directed followership activities over time and across changing situations, is a broad term that encompasses self-monitoring (periodic assessment of the self), goal setting, and using standards to detect deviations, elevating and delivering consequences to the follower, leader, and relationship, and taking action to reconcile the discrepancies between goals and advancement. Followers who take action to reduce deviations devote attention to the task, mobilize effort, and control their thoughts. They also strive to excel in their role as a result so as to develop strengths, maximize their talents, encourage growth, and foster the well-being of the leader and the relationship. In addition, the *future time perspective* of followers, which refers to the degree to which the future drives the thinking, planning, and current behavior of followers, helps them to transcend compelling stimuli in the immediate relational space and to delay apparent sources of gratification that might lead to undesirable outcomes. Followers with a long-term perspective demonstrate self-control in the face of distractions and persevere against setbacks.

Positive cognitions, self-validating beliefs that reflect self-confidence or self-acceptance followers have about themselves vis-à-vis the relationship, also increase persistence in the face of challenges and setbacks. Optimism is an example of a positive cognition. It is a generalized favorable outcome expectation that drives followers to attend to difficult situations with continued efforts to resolve problems rather than by avoiding such problems. Optimism aids followers to see adversity as a challenge, transform problems into opportunities, put in time so as to refine skills, and persevere in finding solutions to difficult problems, maintain confidence, and rebound quickly after setbacks. It enables followers both to initiate and to sustain their efforts to advance relational value. Another positive cognition, self-efficacy, defined as a follower's personal belief in how well he/she executes not only followership roles but also transcendent behaviors, is a major psychological mechanism for positivity. Studies show that it affects employees' participation in development activities, citizenship behaviors, and relationships.

Virtues drive transcendent followership. There are different types of virtues in the followership context (see Chapter 7 for details). Virtues of fiat, for example, are obligated by the role of executing the relationship task, which drive followers to cooperate with leaders, which can be challenging when the leader is bad or the relationship has soured. Agentic virtues are obligated by the role of maintaining the environment of the relationship. Civic virtues, the implicit role demand duties needed to execute the relationship related to the sense of community within which a follower has a communal duty, also affect the relationship positively. Virtues of succor, defined as tacit, discretionary virtues that focus on holding up and invigorating the relationship, also dispose followers to avoid opportunism, information distortion, and tendencies toward domination, all of which support the relationship.

Furthermore, virtuous capacities, defined as internalized normative dispositions to act consistently with the standards of correctness and excellence, supplement virtue traits, because the possession of a virtue entails a capacity. For example, a loyal person must have a sense of when to act in support of friends. As noted earlier, virtues are weapons while capacities are the abilities to use them. A follower's ability to promote or prevent harm to the relationship thus depends on how she regulates, adapts, complexifies, and morally acts toward the leader and relationship. Moral, regulative, adaptive, and complexity capacities enable followers to construct roles that make the leader-follower relationship function more effectively (see Chapter 7 for details).

Another driver is personal values, standards, or beliefs that specify how an individual "should" or "ought" to "behave" in his/her social

environments. Some scholars have identified universalism and benevolences as manifestations of self-transcendent values. Universalism encompasses understanding, appreciation, tolerance, and protection for the welfare of all people and for nature. Followers with universalism values view the relationship as so important that it has to be protected to the best of their ability. Benevolence encompasses preserving and enhancing the welfare of those with whom one is in frequent personal contact (the “in group”). Benevolent followers endeavor to achieve a smooth functioning of the group. Because benevolence values emphasize voluntary concern for others’ welfare (e.g., helpful, forgiving, and responsible, sense of belonging, meaning in life, a spiritual life), they promote cooperative and supportive social relations and provide an internalized motivational base for transcendent behaviors.

Personal growth, the desire of followers to progress, also influences transcendent followership. What undergirds personal growth is individual effort, which includes networking and supporting others (e.g., coworkers) in return for assistance. Followers who are motivated by personal growth demonstrate extraordinary effort toward creating relational value by promoting the relationships they have with leaders. It seems foolhardy for followers who seek personal growth to undermine leaders they work with. That reason might explain maintenance behaviors. However, transcendent behaviors sustain supportive mechanisms within organizations that facilitate advancement.

Followers may also enact transcendent behaviors out of moral concern. Moral rectitude is an individual characteristic that is associated with some followers. Studies in psychology show that some individuals’ moral development influences not only how they respond to situations but also how they interact with others. Moral action does not always occur in response to negative leadership behavior; sometimes, it is driven by a desire to uplift others.

Authenticity, the extent to which followers are true to themselves, the leader, and the relationship, also affect transcendent followership. Studies in leadership have identified authenticity as a form of behavior that determines the ability of individuals to lead others. This is from the perspective of vertical leadership. However, authenticity is also important in horizontal leadership or team contexts. The ability of followers to advance a relationship meaningfully depends on the degree to which other members (e.g., in a team context) consider the follower’s actions as genuine. Transcendent behavior is appreciated when there is authenticity.

The extent to which a follower is service oriented is another factor that drives transcendent behavior. Even though leadership and followership roles require mutual exchange of service, the desire for a follower to

“serve” a leader is not an obligatory role; it is discretionary. Similar to citizenship behaviors that are dependent on the discretion of individuals, service orientation is at the discretion of the follower. However, service is important in contexts that demand resolution of problems, support, and advancement. The service orientation of transcendent followers assists with the advancement of relational value. Followers who want to serve persist despite challenges and exceed demands; they strive to create or seize opportunities within the relationship environment.

In addition to attributes of followers, a number of leader attributes determine transcendent behaviors. First, a leader’s good behavior enables transcendent followership. Just as bad leadership drives restorative followership, good leadership can also drive transcendent followership. Good leader behaviors model expected behaviors for the leader and therefore drive a follower to be extraordinary in the relationship. Good leadership is synonymous to positive leadership. The elements of positive leadership—positive climate (fostering of compassion, forgiveness, and gratitude), positive meaning, positive relationships, and positive communication—drive followers to create opportunities that magnify the value of the relationship. Two enabling leadership behaviors include transformational and authentic behaviors. Transformational leadership creates in followers a willingness to transcend self-interest for the sake of the collective, which creates positive change in the relationship. Transformational behaviors connect the follower’s sense of identity and self to the relationship and leader. The behaviors leaders model for followers tend to be desired uplifting behaviors, and challenge followers to engage more in advancing the relationship. Authentic leadership attributes such as self-awareness, internalized moral perspective, balanced processing, and relational transparency induce in followers a desire to resist constraints so as to create and seize opportunities. Self-awareness extends to situational and other awareness, two components of relational awareness. Such knowledge drives followers to discern their transcendent role. The moral perspective also induces a moral sense in the follower in much the same way that a leader’s balanced view and relational transparency induce objective appraisal of relational processes and issues as well as utter trust in the follower.

The degree to which the leader is open affects the extraordinary effort followers exert to advance a relationship. Openness is a disposition to share with a follower information related to the influence process (i.e., the relationship and follower’s response). It is an individual difference attribute that affects how a follower responds to influence. Leaders who are open to ideas share information that enables followers to gauge their level, frequency, and duration of contribution. How much extraordinary effort a

follower has to exert depends on what I call the elevation gap. The elevation gap refers to the difference between the actual state of the relationship and desired or expected state (see figure 5.1). Like rungs, the elevation gap may be steep or shallow. Steep gaps require more extraordinary effort in comparison to shallow gaps. Openness therefore facilitates the flourishing of the relationship which enhances relational value.

A second factor is virtuous leadership. Virtuous leadership has been in the literature since the 1970s, when some scholars argued that transformational leadership is tantamount to virtuous leadership, and that it enables both followers and leaders to progress to the highest levels of moral development. More recently, virtuous leadership has been explicated as distinguishing right from wrong in one's leadership role, ensuring justice and honesty, influencing and enabling others to pursue righteous and moral goals for themselves and their organizations, and aiding others to connect to a higher purpose. It includes vertical virtuous leadership (context in which a superior influences a follower morally) and shared virtuous leadership (context in which moral influence and roles are distributed). It also enables learning in organizations.

One of the characteristics of virtuous leadership—influencing and enabling others to pursue righteous and moral goals for themselves and their organizations and helping others to connect to a higher purpose—suggests that followers may be motivated or activated to optimize in their effort to advance the relationship. In one sense it is a reflective mechanism; a follower may view the leader's virtuousness as reflecting on him/her, which will induce him/her to behave in a way that reflects back on the leader. In a shared influence context such as that presented in this book, virtuousness drives a follower to excel in promoting the relationship. Initiative, taking charge, issue selling, and proactivity, types of transcendent behaviors, increase with virtuous leadership. A follower offers more ideas, initiates task execution, and always offers support that advances the relationship.

Transcendent followers monitor the progress of the relationship not only to identify areas in need of excellence but also to discern changes and to create or seize opportunities. That monitoring enables them to appraise the dynamics of the relationship. The dynamics of the relationships is therefore one factor that influences the transcendent behavior of followers. Relationships are characterized by variable experiences, uncertainties, and contrasts that pose challenges for the parties (see Chapters 3 and 4). Eventually, the dynamics and internal contradictions affect the level and form of transcendent behavior. They create hurdles that task the transcendent follower to navigate. But they do not stymie transcendent followers because they view them as integral elements of extraordinariness.

Transcendent followers transform difficult interactions with leaders into benign and exciting ones using agentic and civic virtues as well as virtues of succor to ease and repair frictions. It is the ability of followers to show aretaic qualities that enable the relationship to flourish. Such qualities overcome challenges and dynamics. For example, a follower may show virtues of cooperation, which increases the connection with leaders and help overcome a leader's suspicion of competition or autonomy.

Besides the dialectics, the affective state of the relationship determines the degree to which a follower transcends challenges. Positive affects such as excitement, enthusiasm, pride, alertness, inspiration, determination, and attentiveness energize followers to achieve superior outcomes that propel the relationship. They drive followers to show personal initiative, take charge, sell an issue that seems difficult, and be proactive in the relationship. These behaviors are by themselves not transcendent except when they are self-determined and precede surmounting of challenges. In contrast, distress, scared, hostility, fear, and irritability constrain transcendent behaviors of followers. Distressed followers do not take initiative, in much the same way that scared followers do not take charge and hostile individuals do not sell an issue or fearful ones do not become proactive. Relationship affect includes the degree of approval, fairness, respect, trust, and satisfaction in the relationship. Followers who seek approval strive for extraordinary outcomes. Those who observe trust, fairness, and respect in the relationship make decisions that optimize on the outcome of the relationship and create or seize opportunities within the relationship. Furthermore, satisfaction increases the desire of followers to strive for greater excellence in the relationship.

Relationship control, the degree to which each party regulates him/herself in the relationship, is indicated by the level of accountability, authority, dexterity, and responsibility. Relationships in which followers have high accountability tend to be characterized by superior outcomes because of the followers' desire to excel. The sense of autonomy from accountability heightens the desire of followers to prove themselves worthy. Authority imbues followers with power, which affects the degree to which he can take charge or show personal initiative. Dexterity manifests in how much selling of an issue a follower does in order to achieve extraordinary outcomes. Responsibility, a form of quasi-ownership, drives a follower to ensure that the goals of the relationships are not only met but probably exceeded.

Relationship structure focuses on how much flexibility, formality, and openness there is in the relationship. Flexible relationships enable followers to take personal initiative or show proactivity. Formality also affects the

ability of a follower to take charge. Openness, which centers on the availability of the parties to each other, signals when a follower can approach a leader to present a case (i.e., sell an issue). It indicates the level of transparency in the relationship. High transparency increases the desire of a follower to overcome challenges so as to promote the relationship.

The belief, value, and normative systems of organizations often regulate not only the behavior of individuals but also interactions within and across departments. Some organizations have constructive value systems while others have aggressive or competitive systems. Still others have cooperative norms. Furthermore, some organizations have humanitarian values. A follower's behavior is guided by these forms of cultural systems. Organizations with positive cultures support and even promote behaviors that uplift not only individual members but also coworkers, supervisors, and other stakeholders. Such organizations are virtuous. Transcendence thrives in such contexts. Passion for organizational activities including interactions and relationships, for example, is high, which drives followers to be proactive. Some cultures even facilitate initiative and appreciate, rather than disapprove, taking charge behaviors.

Organizations experience changes in various forms. Changes are associated with new leadership, strategic failure, and structural rigidity. The nature, speed, and impact of changes associated with these vary dramatically because of their potential to affect the psychological orientations (emotions and behaviors) and careers of employees. Changes represent hurdles to transcendent followers, particularly when they constrain extraordinary outcomes. Changes that are oriented toward excellence are congruent with transcendence and affect self-determined behaviors such as taking charge and proactivity.

As in relationships, structural characteristics of organizations such as authority, span of control, and decentralization influence followers' transcendent behavior. Authority facilitates taking charge when it does not limit what followers do. Hierarchical authority specifies which employees report to whom, which means followers have to seek permission to engage in some activities or interact with others. The requirement to seek permission inhibits initiative and taking-charge behaviors. Decentralization, which "loosens the rope" on decision-making, enables followers to demonstrate personal initiative, proactivity, and taking charge. Flexibility, formality, and openness attributes of organizational structure also drive transcendent behavior in much the same way as they do in relationship structures. Organizations are broader relationships and therefore have the same attributes as small relationships.

Consequences

What are the outcomes of transcendent followership? When a follower overcomes challenges to show extraordinary effort in advancing a relationship, not only do the follower, leader, and relationship benefit but also the organization achieves positive outcomes. One outcome that pertains to followers is meaningfulness. The role of a follower in advancing the relationship reflects on him/her, which fulfills an inner desire for meaning. That meaningfulness increases the satisfaction of a follower. In the process of advancing the relationship, a follower learns about stirs, pricks, and snags. The learning is then transferred to other relationships to improve the follower's interactions.

Besides the meaning a follower gets, the opportunities created during the process influence others. Transcendent followers effect extraordinary change. They exceed demands, overcome hurdles, and create or seize opportunities. Opportunity creation and opportunity seizure represent distinct concepts that, when combined, yield four types of opportunities. Symbolic opportunity arises when opportunity creation and opportunity seizure are both low. Followers' actions are merely to symbolize their concern for the relationship. Reflective opportunity occurs when followers expend personal resources to provide superior outcomes without anticipating much benefit. Opportunity creation is high but opportunity seizure is low, which suggests that their interest is not to exploit the relationship. However, followers gain reflective outcomes (e.g., reputation or image) indirectly. Consummative opportunity arises when opportunity creation is low and opportunity seizure is high. Here, followers intend to exploit benefits from the relationship. Finally, generative opportunity arises when both opportunity creation and seizure are high. Followers seek extraordinary outcomes that can transfer across generations not only for the current relationship but also for other relationships within and outside the organization.

Leaders also benefit from the relationship. The transcendence of followers serves as buttress for leaders. That support frees them up to engage in other tasks that generate additional outcomes for the organization. The opportunities discussed above also apply to leaders. Reflective opportunity, for example, can be to the advantage of the leader. Furthermore, generative opportunity, which transfers across time, space, relationship, and location, also benefits leaders. These opportunities serve as bases for extraordinary effort to effect transformation and generative outcomes. They enable followers to ignore or subordinate personal goals to overcome hurdles from resistance, stigma, and diametric values. Furthermore, followers can harness opportunities to optimize advancement of the relationship, and

facilitate economic, reputational, relational, and transformational outcomes by enabling other relationships to flourish in organizations. These outcomes result from transcendent behavior and directly or indirectly impact organizations.

Contingencies

In the previous chapters, I discussed how relationships are characterized by variable experiences, uncertainties, and contrasts that pose challenges—difficulties, impairment, spoiling—for the parties. In transcendent followership, impairment and spoilage are unlikely because of the positive orientation of the relationship. However, difficulties that are encountered in the relationship reduce the amplifying effect of transcendence, such that instead of meteoric advancement, the relationship improves incrementally. In that case, the advancement of the relationship is vitiated by intentional snags from other agencies in the organization. The degree to which a relational partner desires openness rather than closeness, or inclusion rather than seclusion also affects transcendent followership's influence on organizational outcomes. In open and inclusive situations, transcendent followership magnifies the extraordinary outcomes, which contrasts with close and secluded situations.

Virtuousness of followers transforms difficult interactions with leaders into benign and exciting ones. For example, agentic virtues can be used to ease challenging interactions. Followers can also use civic virtues to overcome betrayal, which spoils relations. It is the ability of followers to show aretaic qualities that enables the relationship to flourish. Such qualities overcome challenges and dynamics. For example, a follower may show virtues of cooperation, which increases the connection with leaders, thereby overcoming a leader's suspicion of autonomy.

Summary

The promotive role of transcendent followership yields extraordinary outcomes for the relational network. Using the paradigmatic model outlined in Chapter 1, I distinguish it from restorative followership. In addition, I outline transcendent followership's process, states, conditions, and prototypic behaviors. I also discuss the strategies that enable transcendent followers to generate extraordinary relational value. I indicated in the previous chapter that transcendent followership centers on the positive area of the value curve. As a result, it focuses on positivity. Transcendent

followership is therefore affected by positively oriented factors. It generates positive outcomes for individual followers, leaders, the relationship, and their organization. Managers are particularly interested in these drivers and outcomes, so that they can establish systems, processes, and policies to maximize the value of transcendent followership.

Part III

Extensions

Neural Basis of Strategic Followership

In the previous chapters, I discussed the efferent processes (strategic followership that is not associated with neural processes of followers but rather the social and behavioral processes) of strategic followership. In this chapter, I extend that discussion to the afferent processes (strategic followership that is centered on the neural activations of followers). These processes explain the bridge mechanism by which followers behave strategically: tempered imitation. Strategic followers have a keen sense of situational awareness. Consequently, they observe their surroundings and imitate what is good based on neuronal activations.¹ The imitation is tempered in the sense that not everything followers observe is imitated; only that what is congruent with the self in terms of morals, motivations, goals, expectations, values, beliefs, and normative standards is imitated.

Scholars, particularly neuroscientists, are helping us understand how human behavior in general (and for that matter strategic behavior of followers) originates from neuromodulatory processes. Neuroscience is also offering clues to explain how some individuals handle certain situations. Based on the principle of agency defined as an individual generating an action, two neuroscientists² used a neuroimaging experiment to examine whether subjects prefer to lead (being the agent controlling the circle) or follow (being acted upon in the control of the circle). They found that clusters within the right intraparietal sulcus were associated with following for the most rostral and leading for the most caudal ones. A lateralization effect (a functional specialization of the brain, occurring primarily in the left hemisphere, in response to perception of visual and spatial relationships, occurring primarily in the right hemisphere) was also found in the conditions, the response being stronger in the left inferior parietal lobule when subjects were not the agent of the performed action, and in the right when they were.

I draw from this and other studies in neuroscience to explain how it is that some followers handle bad leadership situations well and other followers handle them poorly. The differences in situational efficacy are due to the afferent processes of followers. They help explain why the value curves of both restorative and transcendent followership are upward sloping and with optimal points. The value curve of restorative followership is oriented toward bad leadership, while that of transcendent followership is oriented toward good leadership. They both assume discrete situations and simple followership structures (see figure 2.2, A and B). Restorative value assumes that followers encounter only bad leadership, and transcendent value assumes that followers face only good leadership. These assumptions suggest two different processes by which followers contribute strategic value. I first discuss these processes before turning to situations in which followers encounter *both* bad and good leadership situations simultaneously. In most organizations, employees often have formal relations with multiple supervisors, some of whom may be good and others bad. As a result, they tend to have dual followership roles.³ Further, they are often not able to withdraw from one role in order to complete another role; rather, they have to fulfill both roles simultaneously. This demand requires ambidexterity. In this book, I term it strategic ambidexterity: followers have to be strategically ambidextrous as they combine restorative and transcendent followership demands.

Bad Situational Context

Chapter 4 discusses restorative followership. Implicit in that discussion is “how followers deal with bad leadership.” The illustrative examples suggest that restorative followers are effective when they separate themselves from the leader. Separation, as strategic behavior, enables followers to restore the value of the relationship. It is a more effective way than the status quo for two major reasons. First, it prevents the bad leader from obstructing the follower’s restorative efforts. Prevention is very probable when the leader does not perceive the follower, an equal who has a responsibility to the relationship, as distant from him/her. Second, separation enables the follower to organize his/her response. Separation is a form of organized sense-making. It enables a follower to marshal psychological and social resources to effectively deal with diminishment of the relationship’s value. In other words, separation allows a follower to adopt behaviors that maximize strategic value. As separation increases, its potential strategic value is likely to increase. However, that is up to a point; beyond the

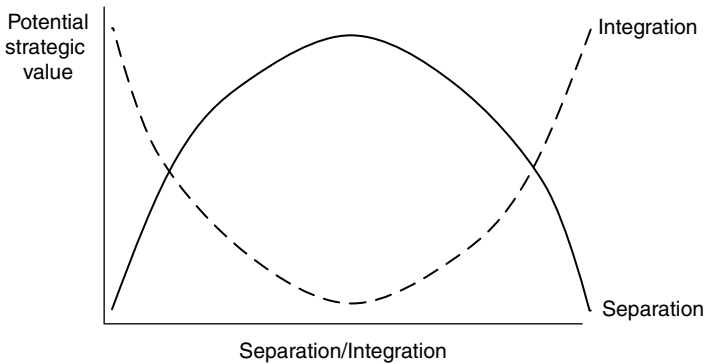


Figure 6.1 Relationship between separation and integration strategies

maximum level, the potential strategic value decreases. Figure 6.1 illustrates the relationship between separation behaviour and its potential strategic value.

Separation manifests psychologically, socially, and physically. Psychological separation focuses on emotional detachment. Because followers invest emotionally in the relationship, separation allows them to readjust. It also enables them to evaluate their obligations and the tasks of realigning the value of the relationship. They discern how to restore the value of the relationship. That discernment includes an introspective assessment of themselves. Similar to adaptive leadership, separation calls upon the follower to assess how she, rather than the leader, may have contributed to the diminishment in value, and what solutions she can offer to restore the diminished value.⁴ Separation enables the follower to mobilize personal resources and to engage other people with the problem rather than expecting the leader to turn around and fix the mess made. How does separation manifest itself?

Separation is purposeful. The follower separates from the bad leadership situation so as to adopt behaviors that will restore the value of the relationship. The follower's strategic behaviors therefore increase as the follower distances herself from the leader, a tendency that continues till restorative value peaks (i.e., the optimal level). Thereafter, separation does not increase the strategic value of the relationship; rather, it reduces the strategic value. Separation therefore has an inverted U-shaped relationship with strategic (restorative) value. As separation increases beyond the midpoint, the relationship turns negative, which causes a decrease in strategic value. In other words, the utility of separation is limited.

Good Situational Context

Unlike separation, which focuses on value restoration, integration focuses on value advancement. It emerges from good leadership and therefore is oriented toward magnification of the strategic value of the relationship. Similar to positive leadership, which influences followers through uplifting behaviors, transcendent followership focuses on magnifying the value of a relationship by generating superior outcomes. Integration is the strategy that enables a follower to achieve those outcomes. It is a superior mechanism because of its collectivistic and harmonizing attributes. As a result, it enables a good leader to endorse and reinforce a follower's transcendent efforts. Integration is very probable when the leader perceives a follower as an equal and responsible for the advancement of the relationship.

It also enables the follower to bond more deeply with the leader and organization, to deploy amassed psychological and social resources to effectively promote the growth of a relationship, and to achieve extraordinary outcomes. Integration allows a follower to discern how to broaden and institutionalize the mechanisms for magnifying the values of the relationship. That discernment includes an introspective assessment of a follower's role. Through integration, a follower assesses how he and the leader may collaboratively enhance the value of the relationship by devising structures that facilitate the spiraling of the superior outcomes. How does integration manifest itself?

Integration involves fusion of a follower in munificent leader-follower situations. Psychological resource deployment is intended to enhance emotional attachment (i.e., deeper than usual enmeshment in the relational context). A follower attempts to magnify or consolidate whatever outcomes are achieved and to appreciate his/her role when integration is strong.

Similar to separation, integration is purposeful. It is intended to optimize the transcendent value of the relationship. The follower enmeshes herself in the good leader-follower situation so as to enact behaviors that propel the value of the relationship. Because integration is affirmative, it maximizes strategic value even when it is low. Strategic behavior in the sense of subterfuge is not needed. As a result, continued integration results in a decrease in strategic value. The decrease in value does not occur ad infinitum; after the midpoint, strategic value increases with continued integration. In other words, integration maximizes strategic value at low and high levels but not at moderate levels. Thus, it has a U-shaped relationship with strategic (transcendent) value. As in separation, the utility of integration is limited (see Figure 6.1).

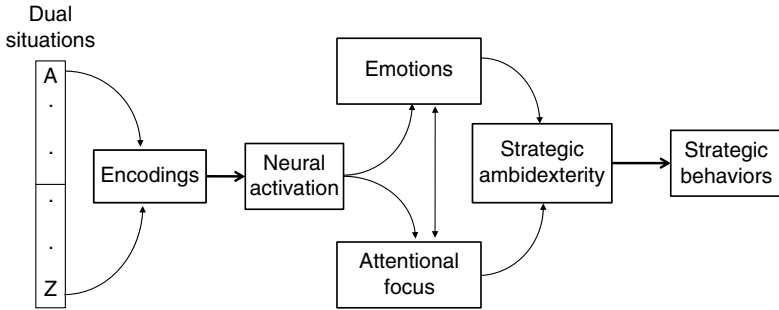


Figure 6.2 Model of dual situations, neural processes, and strategic behavior

If both separation and integration are limited in their discrete forms, can they be combined to yield greater outcomes? The afferent processes of behavior provide an affirmative response. In dual situations, separation and integration function through ambidexterity. Neuroscience provides some clues as to how that happens. Strategic behavior has a neural basis. Figure 6.2 depicts the systematic process by which dual situations influence strategic behavior. The model suggests that dual situations are encoded as a result of neural activation, which triggers emotive and attentional responses. Both responses determine strategic behavior through strategic ambidexterity of followers. I discuss this model beginning with dual situations.

Dual Situations

Dual situations are contexts in which a follower confronts both good and bad leadership simultaneously. They emerge from complex followership structures (see figure 2.2). Dual situations are common in social and organizational lives. Employees sometimes have multiple supervisors, some of whom may be good and others bad. In organizations with matrix structures, employees often report vertically to functional supervisors and laterally to staff supervisors (see figure 2.2, D). Furthermore, employees tend to be involved in multiple projects, all of which often have supervisors. Even outside organizations, followers, as individuals, sometimes relate to multiple partners. Just as in organizations, some partners may be good and others bad. Indeed, the same leader may be good on one occasion and bad in the next, creating dual situations. Followers therefore encounter dual followership situations frequently. The demands of such situations

differ from those of unitary situations. The primary factor in dual situations is attentional focus because of heterogeneous and conflicting stimuli. Attentional focus is afferent; it has a neural basis. A clear understanding of the neural basis of strategic followership is significant for appreciating the value created by strategic followers. It enables a supervisor to understand why a follower acts in a particular way in a given situation.

Encodings

When followers encounter dual situations, first, they process information about both situations. As I indicated in the strategic decision-making model (see Chapter 3), followers appraise leadership situations by accessing causal and consequential information using experiential and counterfactual processes. The types and manner of followers' encodings determine not only the strategic decisions but also strategic responses— affective, cognitive, and behavioral. They process characteristics of the current situation, competence, and consequences relative to each of the elements of the dual situation. Salient information (e.g., job threats and career inhibitions) are encoded more rapidly because of potentially severe consequences for the follower, leader, and organization. Second, followers encode information about organizational systems that support or constrain responses. Support systems activate transcendent thoughts, while challenging systems activate restorative thoughts. These encodings activate neurons related to emotions and attention.

Neural Activation

Neural activation refers to the excitation of neurons in response to stimuli. Both internal and external stimuli arouse neuronal processes, albeit in different ways. Neural activation initiates emotive and cognitive responses. There is evidence that neural activation varies according to pleasantness: pleasant and unpleasant stimuli induce excitatory and inhibitory responses, respectively. While excitatory responses lead to approach behaviors, inhibitory responses lead to withdrawal behaviors. I discuss below that the orbitofrontal cortex (OFC), the anterior cingulate cortex (ACC), the locus ceruleus (LC), and the inferior parietal lobule (IPL) are involved in not only the processing and appraising of information but also the arousal or activation of neural systems that are associated with affect and attention.

Neural activations lead to appraisals— affective and cognitive. Affective and cognitive appraisals center on emotional and attention responses, which precede action execution. When either or both result in behavioral

response, neural activation is congruent. For example, when action word processing leads to execution of action, then neural activation is congruent. However, it is incongruent when action word processing does not lead to execution of action. In the context of strategic followership, congruent neural action manifests when (1) emotional appraisal or (2) attention evaluations lead to strategic ambidexterity (see figure 6.2). Congruency also exists when emotional response arouses cognitive appraisals that result in strategic ambidexterity or cognitive appraisals arouse emotional response. This process is indicated by the double arrow in figure 6.2. When followers are aroused to like a leader, it drives them to think of ways to advance the relationship. The obverse is also likely: followers who think of improving the relationship may develop emotional attachment to the leader, which further propels their positive behaviors.

Emotions

In psychology, emotions (intense feelings regarding followership roles) are part of affect, which is a broad range of feelings that followers experience including moods (feelings that tend to be less intense, longer-lived, and more diffuse feelings), and attitudes (positive or negative orientations toward followership). Emotions can be positive (pleasurable engagement with followership roles—for example, enthusiasm, interest, joy, and determination) or negative (a general factor of subjective distress—for example, fear, anxiety, hostility, scorn, and disgust for followership role). Research shows that emotions influence followers' behaviors. The neural basis of those emotions is not clear. However, there is accumulating evidence in neuroscience that despite the complexity of the neural circuitry of emotion processing, the “ventral” system is involved in “bottom-up” generation of emotion. The amygdala is also involved in processing of information with particular sensitivity to threat and fear along with the insula, which is implicated in emotion reactivity or processing of emotionally distressing experiences. Affective appraisals of stimuli processed in the amygdala, ventral striatum, and medial temporal lobules are integrated within the ventromedial prefrontal cortex (vmPFC), which has been shown to track positive or negative appraisal of stimuli in a goal-dependent manner.

Followers with positive affect form decisions that not only motivate them to persist in their roles but also stimulate the leader in the relationship. Positive emotions drive them toward innovative ideas that advance the relationship or suppress potentially relationship-damaging stimuli. Negative emotions such as fears of repercussions and disapproval as a consequence of hostility toward bad leadership situations lead followers to

develop negative thoughts about their roles (double arrow in figure 6.2) and make decisions that, rather than restore or advance the relationship, stall or degrade it. Affective appraisals can also cause attentional focus to reduce.

Attentional Focus

Attentional focus is a cognitive process that underlies the separation-integration trade-off. The basis of that cognitive process is neuroscience. Recent work on the neuromodulation of attention shows that interactions between the orbitofrontal cortex (OFC), the anterior cingulate cortex (ACC), the locus ceruleus (LC), and the inferior parietal lobule (IPL) (see figure 6.3) may modulate attention and thus balance separation-integration.

The general functions of OFC include processing of information, appraising information relative to pleasure or pain, and facilitating attention. Thus, it enables individuals (followers for that matter) to process information about dual situations to determine which behaviors have to be enacted. It also enables them to evaluate behavioral response options

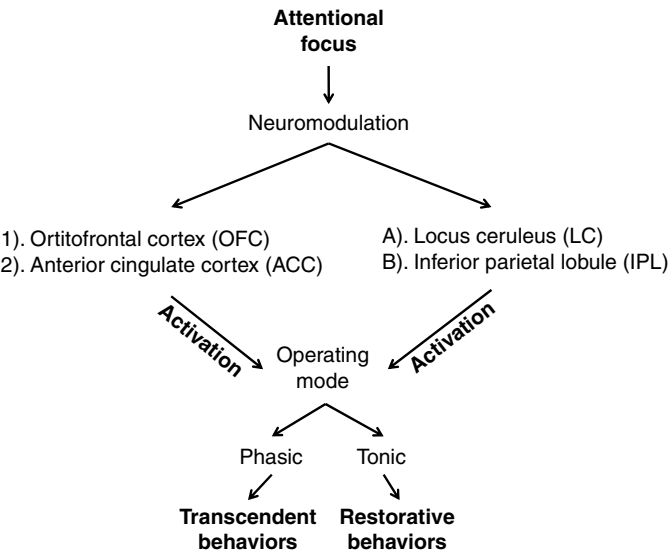


Figure 6.3 Attentional focus and strategic behavior

vis-à-vis the pleasantness of the situations and to make reinforcement or blunting judgments. Finally, OFC aids the attentional focus of followers.

The components of ACC—affect and cognition—generally modulate autonomic activity and selection of responses when they encounter external noxious stimuli. While the affect component focuses on internal emotional responses, the cognition component focuses on response selection associated with noxious stimuli. It plays a role in social behaviors and helps in the assessment of motivation content as well as assignment of valence to internal and external stimuli. The ACC is instrumental in initiation, motivation, and goal-directed behavior. It therefore helps followers to appraise the noxious nature of bad leadership and the pleasantness of good leadership. It may also facilitate initiation, persistence, and qualitative attendance to behavioral responses followers adopt.

The LC belongs to the ascending reticular activating system, an area critical to arousal and wakefulness. It regulates arousal and autonomic activity. The degree to which it is super-active varies in both arousal and specific cognitive processes. Consequently, it is key to responding to stress, attention, emotion, motivation, and decision-making, all of which relate to strategic followership. The LC may therefore facilitate speed of a follower's response and enable modulation between strategies. In other words, it facilitates ambidexterity and sustained attention.

IPL plays a role in response to salient environmental events, maintaining attentive control or current task goals and responding to salient new information or alerting stimuli in the environment. It is part of a system that allows for flexible reconfiguration of behavior between two alternative modes of operation. Applied to followership, IPL enables followers to sustain their attention, facilitates situational or environmental awareness, and modulates between operating modes.

In sum, the OFC, ACC, LC, and IPL are neuromodulatory systems that enable followers to shift between tasks, environments, and situations based on cognitive and affective activations. When cognitive processes are activated as a function of the ACC, the LC is also drawn upon to regulate a modulation of excitatory and inhibitory inputs. The IPL then assumes flexible alteration between dual situations.

Operating Modes

The operating mode centers on how the neuromodulators shift between states. There are two operating modes for the neuromodulatory systems: phasic and tonic. The phasic operating mode is more rapid than the tonic mode, which is a slow response. In the phasic mode, the

LC cells are activated in response to task-relevant stimuli (obligations of a follower) but display low to moderate levels of tonic discharge. The OFC cells also activate in response to the information about the tasks, while the ACC activates the emotive mechanisms that link up to the task relevant stimuli. The IPL then activates the switching mechanisms that allows for changes to the tonic mode should the need arise. The phasic mode is associated with consistent and enhanced attention focus. It generates behavior that optimizes or achieves high levels of task performance. Followers in this mode demonstrate high level of engagement with the current task, relationship, and/or leader. Consequently, behaviors indicative of refinement and efficiency in the particular situation are exhibited. Such behaviors are a reflection on the state of the relationship and what the follower can do to advance the relationship. A follower in that mode is likely to be oriented toward transcendent behaviors.

In the tonic mode, LC cells are slow and respond to non-task events. They strive to disengage with the current task and to search for alternatives. The search may be random or structured, such as the use of heuristics or explicit neuro-algorithms (i.e., repetitive neural activities that result from repeated encounters). The OFC, which is involved in decoding, initiates the detachment of the previously engaged LC and other neurons. Because the ACC regulates autonomic activity and consists of affective and cognitive components, previously accelerated neurons are decelerated and/or switched from task relevant to non-task relevant. The IPL also switches from current task goals to alerting stimuli in the environment due to its flexibility. The tonic mode is associated with restorative behavior because it fits with poor performance on tasks that require focused attention and with increased distractibility. The bad behaviors of the leader are the focus of attention of the follower. The OFC helps with decoding of the leader's bad behaviors, and the ACC facilitates modulation from increased recognition and affect to uneasiness to contribute or share information. Through it, the follower switches from likeness to dislike.

The operative modes of the neuromodulators are shown in figure 6.4. If the follower's attention is in tonic mode, his/her behavior is likely to be restorative for reasons given above. The follower's strategy in that mode is likely to be separation. On the other hand, if the follower's attention is in phasic mode, his/her behavior is likely to be transcendent and that might lead to a strategy of integration. Because the modes are extremes with little or no moderation, the associated behaviors and strategies tend also to be extremes. A follower therefore has to navigate between the two extremes strategically.

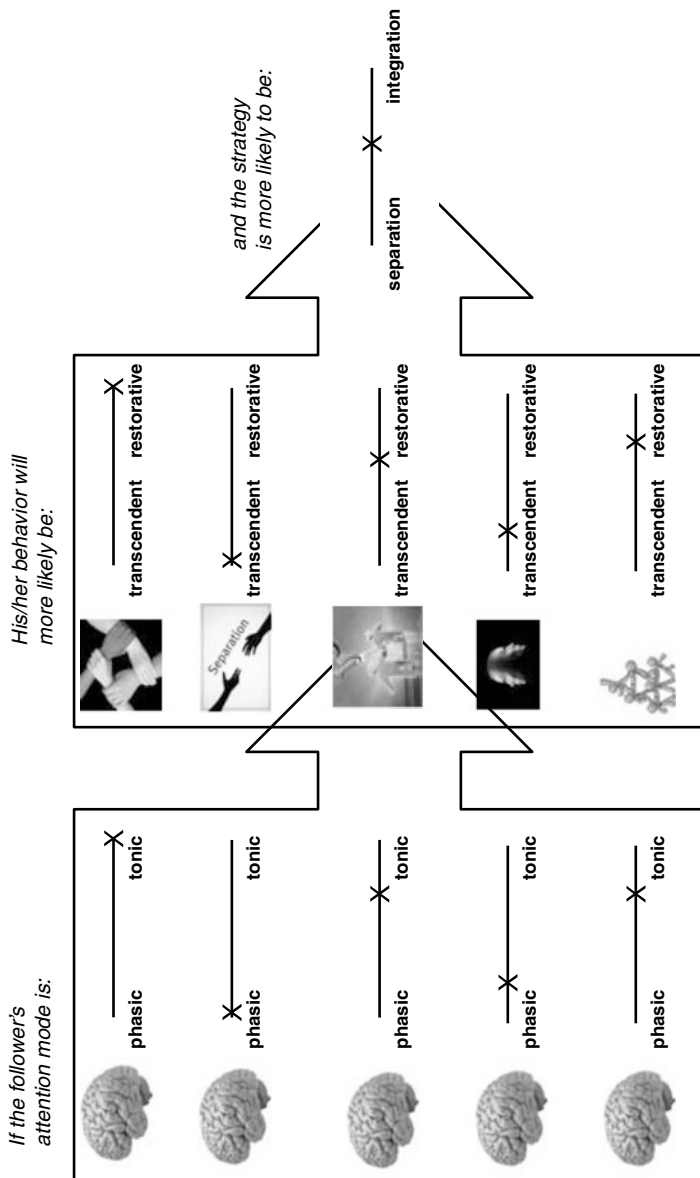


Figure 6.4 Neuromodulation of strategic followership

Strategic Ambidexterity

The attentional focus discussed above determines the strategic ambidexterity of followers. Strategic ambidexterity centers on followers' navigation of the dual roles involving both bad and good leadership in a way that yields optimal strategic value, the maximum value (relational or otherwise) that a follower can create as a function of his/her role. In the context of dual roles, it is achieved through a combination of restorative and transcendent followership behaviors. Strategic ambidexterity combines both separation and integration strategies during bad and good leadership situations, respectively. The value from restorative behaviors complements that from transcendent behaviors, resulting in a greater value than either one of them alone. Imagine for a moment that you had two friends, one bad and the other good. Both relationships need your attention simultaneously. You are likely to achieve greater meaning if you restore the bad one and advance the good one. The value of both friendships is likely to be greater than if you restore only the bad one or promote only the good one. Similarly, strategic ambidexterity enables a follower to restore a bad relationship and advance a good one.

The combination of separation and integration suggests that strategic ambidexterity is a superordinate strategy. There are different types of ambidexterity. Cultural ambidexterity focuses on how followers' separation and integration are centered on cultural values, norms, and beliefs. Political ambidexterity centers on followers' separation and integration as a function of power dynamics. Economic ambidexterity focuses on followers' separation and integration as a function of resource distribution. Finally, social ambidexterity is based on followers' separation and integration as a function of relational dynamics. Strategic ambidexterity may be simultaneous, such as when a follower pursues separation and integration in the same time period, or sequential (i.e., time-paced sequence of separation and integration). In sequential ambidexterity, a follower may separate before integrating or vice versa so as to learn from one and apply to the other. For example, a follower may separate first, and use the insight from that experience to ensure that separation does not occur when she is in the integration context. Insight from integration may also be applied to the separation context to improve the followership process and outcomes. Both sequential and simultaneous ambidexterities enable followers to optimally balance their roles.

In order to *restore* or *advance* the value of the follower-leader relationship in dual situations, a follower has to strategically balance the competing demands of separation and integration. As I discussed above, separation does not refer to severance of the relationship but rather "distancing" from

the relational interface so as to appropriately restore its value. “Separating but not severing” requires a delicate balance, so that the leader does not view the separation as severance. It means being together apart. Strategic followers are able to combine this dialectic in a way that yields primarily positive outcomes. Integration also does not refer to fusion, in which case a follower loses his/her identity, but rather to detachable attachment. It is attachment that yields only positive outcomes but can be detached when there is a plateau or downturn. Combined, both separation and integration enable a follower to enact his/her role in a dual situation to generate positive outcomes.

The factors that determine strategic ambidexterity range from individual, through relationship, to organizational levels. The first factor is the follower’s competence. Ambidexterity is learned and developed. A follower therefore has to acquire that ability and develop it through repeated practice. That means an inexperienced follower may have a long learning curve compared to an experienced follower. A follower who is competent in restorative followership or transcendent followership cannot assume that he/she is competent in strategic ambidexterity; he/she has to acquire the capability. A second factor, leader behavior, focuses on contexts where the leader acts in a way that calls forth both restorative and transcendent followership. Two leaders who are both either bad or good do not call forth strategic ambidexterity; they call forth either restorative followership (i.e., bad leadership) or transcendent followership (i.e., good leadership). However, two leaders in matrix relationships (see also figure 2.2, C and D) who demonstrate good and bad behaviors call forth strategic ambidexterity for a follower. The relational context is a third factor. As I indicated earlier, it is when a follower has to deal with *both* good and bad relational contexts that call forth strategic ambidexterity. The structure of such relationships affects strategic ambidexterity particularly in situations involving dual or multiple leader-follower interfaces. If a follower has to deal with multiple leaders, some of whom are bad and others good, then ambidexterity might be transformed to polydexterity. Of course, humans are limited in their neuromodulatory elasticity. Consequently, the dexterity of followers is bound by that human limitation.

At the organizational level, the structure and culture of the organization determine strategic ambidexterity. The reporting relationships specified by the organizational structure sometimes link followers with supervisors across different functions, exposing them to dual situations and calling forth strategic ambidexterity. Ceece Okranie, a tenured civil servant in Ghana, had always worked with a single director in previous administrations. In those situations, he dealt with bad supervisors in some years and good ones in other years. However, as a result of organizational

restructuring, Okranie was assigned to work for two new supervisors. He was so concerned about the dual situation for two reasons. First, the new supervisors were not familiar with the organizational context. One supervisor graduated from college with a bachelor's degree in history and geography; he had neither work experience nor knowledge of transportation engineering. Yet, he was assigned as the director of that department. The other supervisor only had six months' experience in transportation; he had worked as a route manager in a bus company. Second, Okranie had no experience of dealing with dual situations. He learned from colleagues in the other departments where the two supervisors had worked that one supervisor had a history of being a bad leader and the other had a history of being a good leader. The latter was quick to work with his subordinates to make up for his deficiencies unlike the former, who was dominating and almost always tore down excellent edifices previous supervisors had built. Okranie decided to be strategically ambidextrous by combining restorative and transcendent followership behaviors so as to maximize the strategic value of the relationships.

Organizational culture, the set of values, beliefs, and norms that are shared by members of an organization, can affect strategic ambidexterity. Employees are guided by values and norms within the organization. To the extent that norms specify how employees should interact with each other, the norms may support or constrain strategic ambidexterity. Values specify standards of interaction for employees. In organizations, those standards include the span of control as well as social engineering policies (policies on how supervisors should assign employees). Because culture affects social interactions, it can affect dual situations and strategic ambidexterity.

Strategic Behavior

Even though the strategic behaviors discussed in previous chapters (see Chapters 3–5) focused on single situations (either bad leadership or good leadership), they also apply to dual situations. Unlike single situations that demand followers to exhibit either restorative behaviors or transcendent behaviors, dual situations require modulation between restorative and transcendent behaviors depending on the operative neuro-algorithmic processes.

What are the strategic behaviors of followers in dual situations? Followers' attentional focus modulates between two situations, which suggest that the degree of connectedness to those situations varies from high to weak.

One strategic behavior that is consistent with dual situations is balance. Balance behaviors refer to alignment and adaptive actions of the follower to good and bad leadership situations, respectively. A balance behavior is a form of capacity through which the follower simultaneously demonstrates alignment and adaptive actions. Theoretically, that means the follower operates in a 50-50 mode. The degree to which a follower is linked to both bad and good leadership situations (i.e., connectedness) is high because both are marked by equal, strong connections.

Another strategic behavior is imbalance. The first form comprises shifting actions. These are actions in which the follower allocates the majority of effort to one situation at one time and shifts back to the other situation at another time.⁵ It might be considered the 70-30 mode. A follower might allocate 70 percent attentional focus to the bad leadership situation and 30 percent to the good leadership situation, but later shift to 70 percent attentional focus to the good leadership situation and 30 percent to the bad leadership situation. The degree of connectedness is moderate; at any one time, the follower has a stronger connection to one situation and a weaker link to the other situation. His/her attention is more toward one situation than the other. Cumulatively, the strong connection is eviscerated by the weak link, resulting in moderate strength.

A second form of imbalance behavior is what I term immigrating. These are actions where the follower completely abandons one situation and directs all attention to the other situation. In other words, the follower focuses exclusively on restorative actions or transcendent actions before coming back to transcendent actions or restorative actions.⁶ The degree of connectedness is low, because the absence of a link with one drastically reduces the strong connection in only one situation. When a follower focuses all her attention exclusively to one domain or situation, she is completely absent from the other domain.

In reality, balance and immigrating behaviors seem unlikely for all followers who take their roles seriously. However, given conflicting demands, human limitations, lack of information, and the inability to appraise consequences of abandonment or adoption of one domain and not the other, it is not unthinkable that an individual follower will immigrate or balance effectively. What seems more likely therefore is that some individuals may be able to balance and immigrate and others may be unlikely to do so. In other words, there will always be individual differences impacting the strategic behavior of individual followers in dual situations. That is consistent with the neuromodulatory processes. Some individuals' neuromodulatory mechanisms—ACC, LC, IPL, and OFC—function differently in terms of attention to complex, fast, and detailed stimuli.

Strategic Value

What is the strategic value of the behaviors of followers in dual situations? Balance generates satisfaction and good functioning of not only followers but also leaders and their units. The more satisfied a follower and a leader, the more likely they are to expend greater work effort. Balance also enables leaders and organizations to function well. The restorative and transcendent behaviors are improvement actions that affect organizational functioning. Even though they represent psychological value, that value yields economic value through savings, greater connectedness with the organization, increased productivity, harmonious interactions, and overall growth and development.

The combined value of restorative and transcendent behaviors in dual situations is illustrated in figure 6.5. I have suggested above that some followers are likely to be more ambidextrous than others; that is, they are able to deliver on both dimensions at the same time to some degree. It is also unlikely that a follower can attain the highest level of achievement on both dimensions simultaneously. The value curve of followers in strategic ambidextrous situations may thus be represented as a simple curve.⁷ It is constructed as the combination of both the transcendent and restorative values of a follower.

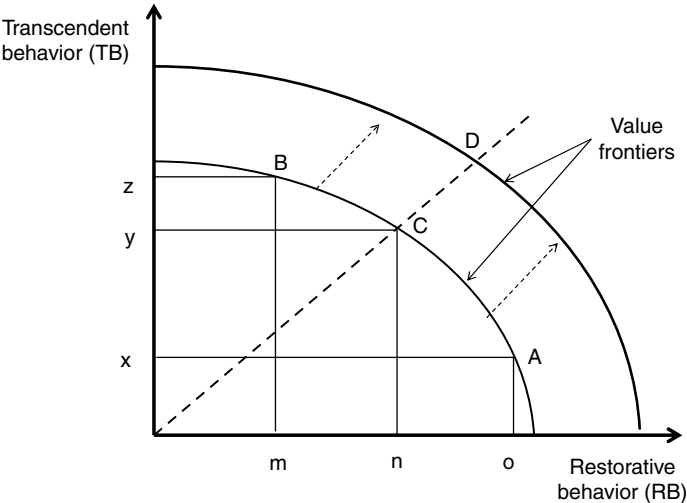


Figure 6.5 Frontiers of strategic value

On the value frontier, point A represents a situation where a follower generates more value from restorative behaviors than transcendent behaviors. This occurs when attentional focus is oriented more toward restorative situations. Point B represents the obverse: more value is from transcendent behaviors because of greater attentional focus. At point C, there is an equal contribution by both restorative and transcendent behaviors. The outer frontier illustrates a situation where the value frontier is expanded. Point D thus represents greater value than A, B, and C because both transcendent and restorative behaviors are greater. A follower with the outer value frontier thus contributes more strategic value than another one with the inner value frontier.

Summary

In this chapter, I focused on strategic followership in the context of dual situations, wherein a follower interacts with both bad and good leaders simultaneously. It contrasts with the previous chapters that focus on single (bad—Chapter 4; good—Chapter 5) situations. Neuro-followership enhances our understanding of the afferent processes underlying the strategic value created by followers. How the neuromodulatory processes can be leveraged to maximize the behavior of followers in dual situations has conceptual and practical applications.

Virtuous Followership

I am interested in followers' value-creating behaviors in both bad and good leadership situations. Followers' extraordinary efforts contribute strategic value to organizations through outcomes such as individual and collective development, climate enhancement, and building human capabilities of coworkers, and groups. One other form of behavior that can contribute strategic value is virtuous followership, a complement to virtuous leadership. Scholars who examine followership indicate that followers should behave in accordance with standards of correctness and excellence. In other words, they should behave virtuously. If the relationship and the actors in it are to excel, the virtues exhibited by followers and leaders are critical. Virtuous followership is therefore potentially critical to an effective leader-follower relationship. Virtuousness helps make followers and leaders authentic, which in turn potentially makes the entire enterprise more virtuous and effective via, for example, improved climate. In other words, virtuousness has spirals that yield relational network outcomes. Followers' virtuousness may also be useful in contexts where leadership is ineffectual. Virtuousness in organizations is an aggregate of the virtuous behavior of employees, whether they are leaders or followers. As I discuss below, two major dimensions of virtuous followership are traits and capacities. Virtuous followership is driven by a number of factors including characteristics of the follower, leader, and the relationship. It also yields proximal and distal outcomes for followers and leaders as well as organizations. The effects of virtuous followership vary according to the internal and external relational conditions. Next, I define virtuous followership.

Definition of Virtuous Followership

Virtuous followership proposes that the individual exhibits aretaic qualities that enable the relationship to flourish. It functionally integrates

relationship and virtue theories. Consistent with the etymological origin of virtue, *arête*, which is from Greek meaning excellence, virtuousness in this context refers to qualities that allow followers to excel in their relationship with leaders. Virtues have been defined in various ways. Some scholars have defined them as internal dispositions of character or mind that lead to human excellence. Others view them as a composite of cognitions, affect, motivations, and actions formed by experience. Still others consider them as manifestations of fortitude in relation to the forces opposing a moral attitude of will or the moral strength of a human being's will in fulfilling his or her duty. The latter suggests that an individual (and a follower for that matter) has a duty to self-perfection and a duty to others' happiness (i.e., a moral duty to promote others' welfare). Further, others refer to them as internal values that characterize an individual (i.e., agent). Finally, some scholars regard them as normative sets of guidelines, or standards of excellence for doing good.

The elements of these definitions suggest that followers are confronted with a set of requirements when acting virtuously: (1) *recognition decision*, which focuses on followers having a sense to differentiate aretaic actions from non-aretaic ones; (2) a *distribution decision*, which involves a selection requirement—choosing which action to take; (3) *intrinsic motivation requirement* driven by the relevant virtue; (4) *character requirement*, which centers on whether to reinforce one's character or not; and (5) *exclusiveness requirement*, which centers on ruling out any motive except for the duty actually motivating an action. These requirements define the aretaic connectedness, the link between the action and the agent's beliefs and desires. Virtue traits, positive dispositional attributes that facilitate excellence of the individual, which include love, beneficence, gratitude, sympathy, respect, autonomy, and dignity, are characterized by these requirements.¹

Consistent with my view of followership as a process, I define virtuous followership as a process by which a follower, in enacting his/her role, demonstrates traits of strength and internalized normative dispositions that facilitate excellence in the relationship with a leader. A virtuous follower therefore refers to any individual who has aretaic traits and capacities or ideals to function effectively in the followership role. The actions are intended to promote, or at least prevent harm to, the needs, values, motivations, norms, aspirations, and expectations of the follower, leader, and relationship. Four characteristics of this definition are noteworthy. First, it focuses on the positive aspects of followership. Second, it adopts a righteous, but nonreligious, perspective, which suggests that followers who are inherently bad can be virtuous followers to the extent that they act to promote or prevent harm to the relationship. It emphasizes the extent to which followers, based on principles of virtue, influence the relationship in a way

that has beneficial outcomes. Third, the definition emphasizes a collective purpose. The follower does not act out of selfishness; rather, he/she acts for altruistic or collective reasons. Finally, the follower acts out of a sense of inner dutifulness or responsibility. Virtuous followership has duties, explicit or implicit, to promote or prevent harm to the relationship. Virtuous followership thus represents conditions of flourishing and vitality, and is associated with meaningful purpose, or that which leads to healthy, happy, resilient relationships.

Dimensions of Follower Virtues and Capacities

The definition of virtuous followership suggests two major aretaic dimensions. First, it is comprised of the traits or attributes followers possess to excel in their role (i.e., virtues). These traits are the internal standards that define an individual. In the context of followership, relational virtues are especially important in that they enable followers to excel in their relationship with leaders. Second, followership roles require capacities that enable followers to excel. Even though virtues are sometimes viewed as traits, their value lies in their empowerment or capacitating potential. Followers who have relational virtues must have capacities that enable them to function effectively in the relationship. Metaphorically, relational virtues are weapons in the arsenal of followers but virtuous capacities are required for their deployment. Next, I discuss types of relational virtues and capacities that contribute to the follower-leader relationships.

Relational virtues. Virtues are categorized as relational or non-relational. Relational virtues are associated with the proper performance of basic social roles and consist of positive traits reflected in thoughts, feelings, and behaviors that define character strengths in the followership role. Examples include attunement, openness, propriety, compassion, and empathy. In contrast, non-relational virtues such as an appreciation of beauty have little to do with relational social roles, though they can be deployed to enhance the relationship by maintaining its context.

Followership is relational. Relationships are defined by boundaries that specify internal and external environments. The internal environment focuses on the tasks in the relationship the parties strive to fulfill, while the external environment focuses on the context and behavior needed to maintain the relationship. As noted earlier, relationships entail duties that may be explicit or implicit. Followership is role based, wherein followers send and receive diverse role expectations and behave in a manner consistent with the role set. Followership roles may therefore focus on the internal or external context of the relationship. Core expectations and behaviors

center on the “task” (internal environment) of executing the relationship, while peripheral expectations and behaviors center on the external environment. Further, role expectations may be obligatory or discretionary in that they prescribe and proscribe behaviors and attitudes. The virtuousness of followers therefore relates to both the internal and external role loci. Followers are expected to fulfill their duties with regard to executing the task (internal locus) and maintaining the environment (external locus) of the relationship. Virtuous actions that are discretionary (you act not at your pleasure but because you “must,” yet you do something that is “up to you”) differ from nondiscretionary (you act out of will of induced obligation) ones. Figure 7.1 shows that the combination of role locus (or relationship boundary) and role demand (or relationship duty) results in four types of follower role behaviors in which there is opportunity to excel (i.e., followership virtues).

There are degrees to which one may act from virtue, depending especially on the extent to which non-virtuous motives contribute to the action in question. Followers who seek to excel in the relationship task principally because they have a sense of obligation or duty exhibit *virtues of fiat*. Virtues that are obligated by the role of executing the relationship task include cooperation, righteousness, propriety, integrity, and purpose. First, followers have a duty to cooperate with leaders, which can be challenging when the leader is bad or the relationship has soured. Follower cooperation in such contexts accentuates the positive in ways that uplift and/or minimize damage to the relationship. Second, followers who are

		Follower role locus	
		Internal (Task)	External (Context)
Follower role demand	Explicit (Obligatory)	Virtues of fiat	Virtues of agency
	Implicit (Discretionary)	Civic virtues	Virtues of succor

		Follower role locus	
		Internal (Task)	External (Context)
Follower role demand	Explicit (Obligatory)	Moral capacity	Regulative capacity
	Implicit (Discretionary)	Adaptive capacity	Complexifying capacity

Figure 7.1 Typology of follower virtues and capacities

righteous not only always seek to do what is right but also insist the same from those around them. Righteousness refers to the quality or state of being just or rightful with regard to the relationship. The requirement of such virtues is that followers will relate justly with leaders. Propriety, conformity to established standards of good or proper behavior, demonstrates character strength. As a virtue, propriety concerns the actions of followers to uphold a relationship with a leader. Integrity is manifest through maintaining consistent standards, trustworthiness, and honesty. It sustains the leader-follower relationship by making it productive via teamwork and effective decision-making. Virtuous purpose refers to the broad quest for excellence or virtuousness and is associated with a sense of meaningfulness in interpersonal relationships and organizations. It is a condition in which followers define the relationship as being personally meaningful, of significance, or in harmony with what they deeply care about.

Virtues that are obligated by the relationship but center on the maintenance of the context or environment are *agentic virtues*. They are based on guardianship or agency. Virtues obligated by the role of maintaining the environment of the relationship include compassion, open-mindedness, attunement, and empathy. Compassion, a feeling of deep sympathy and sorrow for others stricken by misfortune, accompanied by a strong desire to alleviate the suffering, is a trait of character strength. Compassionate followers express feelings of support for leaders facing difficulties and are likely to have greater understanding of both the relationship and the leader. Openness encompasses the cognitive, affective, and behavioral tendencies of a follower being receptive to new (and sometimes contrarian) ideas, emotions, and acts that promote the leader and relationship. The cognitive component, open-mindedness, is a character strength and a corrective virtue. Followers who are open not only are likely to solicit information and ideas from external sources that can uplift the relationship but also are ready to interact with individuals they would not normally engage with. The receptivity to external aid suggests a desire to promote the leader and relationship. Attunement, as an agentic virtue, refers to the level of awareness to social interactions the follower has with the leader and is distinct from the task dimension. It entails a substantial degree of sensibility, dwelling on detail, constructive listening, and gentleness to the point of personal vulnerability. Attuned followers display high levels of vigilance to the cues, expressions, and affect of the leader. Empathy is an other-oriented emotion in which a follower, out of concern, experiences and/or imagines the affective state of a leader. Followers who assume the plight of leaders understand the situation including the forces driving the leader's behavior.

Third, followership virtues that focus on the internal role locus (i.e., the task of executing the relationship) and the discretionary role demand are *civic virtues*. They not only are associated with the duty (as of citizens) or rights of membership but also center on executing the relationship. Civic virtues manifest themselves in implicit role demand duties needed to execute the relationship related to the sense of community within which a follower has a communal duty. As part of the community (with leader(s)), a follower has a duty and right to demonstrate traits of excellence. Civic virtues include benevolence, bravery, fairness, social intelligence, and kindness. Benevolence, the tendency to help or do good, is directed at the leader even though it may be risky for the follower. It embodies the notion that it can be right to reveal an important truth to the leader even though doing so may be hurtful to the follower. In other words, followers have civic responsibility to be charitable to leaders. Bravery is a disposition to voluntarily act, perhaps fearfully, in a dangerous circumstance, given that the relevant risks are reasonably appraised, in an effort to obtain or preserve some perceived good for oneself or others; recognizing that the desired perceived good may not be realized is especially required in situations where the leader is harming the relationship. It involves judgment and discretion, and entails potential risk or injury. Follower-leader relationships are sometimes risky because of the power (coercive, legitimate, and reward) and motivations of leaders, which may cause them to erroneously perceive insubordination when followers act for the good of the relationship. Nevertheless, it is a form of service to others and acting toward a higher purpose. Fairness, the tendency to be honest, just, and straightforward, helps individuals determine what is morally right, morally wrong, and morally prescribed. Followers with a concern for fairness are sensitive to social injustice, embody compassion and caring for others, and have relational understanding. Acts of fairness are therefore not biased against the leader but instead are intended to advance the relationship, which includes the leader. Kindness, a defining human characteristic, involves empathetic concern for others and is considered a foundation of ethical living. Kindness facilitates a sense of humanity, assists healing, and nurtures interpersonal connections. Followers who demonstrate kindness give life to the relationship.

The fourth type is *virtues of succor*. They focus on the external role locus and discretionary role demand, and seek to maintain the context of the relationship. Virtues of succor, which include humor, hope, prudence, curiosity, and humility-modesty, are tacit, discretionary virtues, intended to hold up and invigorate the relationship. Humor encompasses playful recognition, enjoyment, and/or the creation of incongruity, which promotes a composed cheerful view on adversity. It allows the parties to see

the situation's light side and thereby sustain a good mood. In the context of followership, humor helps mitigate, suppress, interrupt, or even replace the negative impact of relational adversity. Hope is a cognitive, emotional, and motivational stance toward the future. Followers who have hope or optimism are likely to relate better with leaders, tolerate anguish associated with the relationship, be efficacious, and show flexibility in thinking. Prudence is an individual's cognitive orientation toward the future, a form of practical reasoning and self-management that helps the person to achieve his/her long-term goals effectively. Prudent followers tend to show a far-sighted and deliberative concern for the consequences of their actions and decisions, successfully resist impulses and other choices that satisfy shorter-term goals at the expense of longer-term ones; have a flexible and moderate approach to life, and balance among their goals and ends. Followers have to be prudent especially in ineffectual leadership situations. Curiosity is an intrinsic desire for experience and knowledge, an active recognition, pursuit, and regulation of one's experience in response to challenging opportunities. As a character trait, it is a disposition to want to learn more about a wide variety of things including information that positively influences the follower-leader relationship, especially during challenges. Humility or modesty is often associated with self-deprecation or low self-esteem, but here it refers to the tendency of followers to acknowledge their mistakes, imperfections, gaps in knowledge, as well as openness to new ideas, contrary information, and advice while keeping accomplishments in perspective. It disposes followers to avoid opportunism, information distortion, and tendencies toward domination, all of which support the relationship.

In sum, the various types of virtue traits are directed at different aspects of follower-leader relationships. Followers can contribute value by targeting some or all the aspects of the relationship. Those that direct their virtues to all the aspects obviously contribute more in advancing the relationship than those who focus on only some aspects. The typology also suggests that the relationships are complex² and require diverse response mechanisms and capacities.

Virtuous Capacities

Virtuous followers have capacities (internalized normative dispositions to act consistent with the standards of correctness and excellence) that supplement their virtue traits. The possession of a virtue entails a capacity. Without it one would not act from virtue. For example, a loyal person must have a sense of when to act in support of friends. Both

virtues and capacities enable followers to function effectively in their relationship. Using the same dimensions as those in virtue traits, four types of virtuous capacities can be identified. Followers' ability to promote or prevent harm to the relationship depends on how they regulate, adapt, complexify, and morally act toward the leader. Moral, regulative, adaptive, and complexity capacities are as instrumental as virtue traits to virtuous followership in that they enable followers to construct roles that make the leader-follower relationship.

Moral capacity is obligatory for the internal role locus. Virtuousness is about flourishing and moral character; moral goodness or what is good, right, and worthy of cultivation; and social betterment that extends beyond mere self-interest. A follower's moral capacity, the internalized normative disposition to behave consistently with personal and social morals, not only requires acting in ways that better the leader, but also includes uplifting the image of the follower and the relationship. *Regulative capacity* is obligatory for the external role locus. As the ability of individuals to exercise control over the personal, behavioral, and environmental processes impinging on them, regulation enables the relationship to endure. However, it requires personal strength. Self-regulatory strength is an internal resource available to inhibit, override, or alter responses that may arise as a result of physiological processes, habit, learning, or the press of the situation. Followers who are able to recognize, resist, or support personal, social, and situational stimuli have regulative capacity, an internalized normative disposition to direct their actions in certain ways. Regulative capacity helps followers to monitor and modify their behavior, cognition, and affect as well as environment (if need be), consistent with desired goals.

Adaptive capacity is discretionary for the internal role locus. Relationship theory suggests that relations are dynamic and characterized by a continual need for regenerative action and consequent reaction. Virtuous followers must adapt to changes, natural or contrived. The use of adaptive capacity is similar to that applied to groups and organizations in that it refers to the internalized normative disposition to anticipate and alter personal and social tendencies to change demands, consistent with the standards of excellence of the followership role. A vigorous but controlled response capacity entails the ability to react through the formation and reformation of sustainable and appropriate relationships based on the recognition of the state, progression, and potential of the relationship. Virtuousness requires that the content, direction, and manner of the reactive response be appropriate and positive. A follower's capacity to anticipate and alter his/her cognitive, affective, and behavioral tendencies in response to change includes the capacity to both plan and implement adaptations.

Complexifying capacity is discretionary for the external role locus. The diverse beneficial or harmful stimuli of the relational environment, internal and external contradictions within the boundaries of the dyad, and ongoing tension between unifying and differentiating attributes suggest that followers must be able to integrate the beneficial stimuli into the relationship in a way that enhances it while differentiating the harmful stimuli. Followers have to balance these centripetal and centrifugal forces. This ability is the complexifying capacity, which can be considered a personality attribute or capacity. Complexity as a capacity has cognitive, affective, and behavioral components. It is useful in management as well as leadership and relationships. Complexifying capacity thus specifically refers to the internalized normative disposition to discern, disassociate, and/or adopt stimuli consistent with the standards of correctness and excellence of the followership role. Followers with virtuous capacity are able not only to recognize the dialectics but also to act excellently in those contexts. They enable followers to show more differentiation and integration as they process feedback from the environment or attempt to alter the perceived environment. They also enable them to develop higher-level strategies to resolve differences in a positive way. Followers lacking this capacity may not recognize processes that could harm the relationship and may not be able to distinguish grave situations from benign ones.

Process of Virtuous Followership

Virtuous followership functions in both internal (i.e., the immediate exchange between the follower and leader) and external (i.e., the broader context of the organization) contexts of leader-follower relationships. It also functions in bad and good leadership situations. The functions parallel the dynamics and dialectics of relationships, which are also processual. Internal processes include activation and fusion. As noted earlier, even though followers may possess relational virtues, the deployment of specific virtues depends on activation. Whether followers are stimulated to use a particular virtue in a given situation depends on the dynamics of the relationship. The law of cognitive structure activation suggests that cognitive attributes and structures are activated under certain conditions to process new stimuli. Activation is especially important when the follower-leader relationship is problematic and both actors are intricately linked. Activation is initiated when uplifting and flourishing follower traits emerge to subsume the negative or diminishing stimuli. Further, followers spread virtuousness through fusion. Fusion refers to the process

by which follower virtuousness broadens and binds intricately within the followership environment. It occurs through conversations, modeling, and other interactional mechanisms (e.g., honoring and recognition) enabling the excellence of the follower to melt with that of the leader. Through that process, fusion dispels negative influences.

In addition to the internal processes, virtuous followership has facilitation, contagion, and inhibition processes. First, virtuousness facilitates positive psychological (cognitive, affective, and behavioral) outcomes for followers and leaders. Some of those outcomes enable followers to demonstrate positive attitudes and behaviors that enhance the relationship. These include positive affect (e.g., joyful relations), social capital (positive perceptions of dependability), and pro-social behavior (e.g., altruism). Second, contagion processes relate to the spread of virtuousness within and beyond the relationship. Follower virtuousness has synergistic effect such that a sense of affective elevation—fostered by observing virtuousness—is disseminated in the relationship and throughout the organization. This amplifying potential is similar to the heliotropic effect, manifested as a tendency toward that which is positive and away from that which is negative.

Through inhibition processes, virtuousness buffers followers and leaders against negative effects by preventing irresilience, lack of confidence, and alienation. It is crucial to virtuous followership. Virtues such as courage, hope or optimism, honesty or integrity, forgiveness, and compassion are all inoculations against psychological distress and dysfunctional behavior. Virtuousness buffers leaders and followers from relational trauma. It makes them develop resilience and “toughness” or preserve social capital and collective efficacy. In other words, virtuousness enables followers to stick to the relationship through thick and thin.

Antecedents of Virtuous Followership

Attributes of followers, leaders, and relationships precede the virtuous followership process. The focus here is on general classes of these attributes that have empirical basis in the followership and leadership literatures. The first attribute is follower cognition. Broadly, cognition refers to mental processes and includes beliefs, intelligence, awareness, perception, and self-appraisal, all of which affect character development. In the virtue literature, character strength is a function of cognitive development. Cuing, a perceptual and information process disposition, is an antecedent of virtuous leadership. Followers' awareness of relational cues determines the need for aretaic qualities, and their cognitive capabilities affect decisions

concerning how and when to act virtuously. Thus, followers' knowledge of self and of the relationship is part of the bases for virtuous behavior.

Two classes of cognitions discussed previously (see Chapter 5) include personal visions and personal expectancies. They affect virtuous followership. A personal vision is a picture of the follower's ideal role as he or she views it. It is an ideal image of the follower's future, and may include work, leisure, friends, or what the follower views as important. Consistent with various expectancy-based theories, followers' virtuous behavior depends on expectations they hold regarding their roles, their capacity-centered beliefs vis-à-vis those roles, and the outcomes they perceive to be connected with the behavior. Importantly, followers' beliefs concerning the efficacy of a particular virtue are likely to be different for specific situation. As a result, they may enact different virtues in different periods.

Affect also influences virtuous followership. Affect relates to follower virtuousness through appreciation of beauty, excellence, and humor. It induces virtues of succor, which are oriented toward supporting follower-leader relationships. It also induces civic virtues, which facilitate excellence in relationship task execution. Along with affect is follower motivation, the arousal and persistence in a goal-directed action. Kantian virtue eschews self-motivations. As a result, other-oriented motivations (e.g., collective goals and shared values) are significant for virtuous followership. Collective goals sustain relationships through mutual desires and compatibility. Followers and leaders are compatible if they share collective goals. For example, an unethical leader may seek the support of an ethical follower, who may look instead to end the relationship or use virtuousness to realign their differing goals.

Values differ from virtues but influence deontological actions. Values are shared when either followers subscribe to the values of the leader or vice versa. A follower behaves aretaically to support the collective good when the effectiveness of the relationship is viewed as a shared responsibility. Virtues of fiat come into play here. Finally, although virtuous behavior is not self-motivated, it has self-reflected outcomes such that a virtuous follower seeks to enhance his image as a person of integrity even though the behavior was not originally intended for that purpose. This indirect or self-reflected outcome serves as basis for virtuous behavior.

Follower experiences affect the self through hedonic (i.e., the principle of approaching pleasure and avoiding pain) and eudemonic (i.e., goodness of life based on living in a manner that actively expresses excellence of character) experiences. Here the focus is on the experiential self, and the evaluative reactions to discrete events or experiences. A follower who feels a special fit in the relationship demonstrates virtuous behavior to sustain those experiences. Eudemonic engagement is closely related to

peak experiences of interest, motivation, and joy that have been observed in artists' work and other types of work. Followers who experience joy and satisfaction in their relationship with leaders engage in the role and demonstrate excellence in it.

Another factor is leader competence. Leaders influence follower virtuousness through their competence and engagement. The competence inspires followers to work toward other positive outcomes, resulting in virtuous upward spirals. Emotional competence, how leaders manage their emotions, inspires followers to behave virtuously by contagiously and vicariously providing psychological resources and emulative character that is deployed to overcome adversities. An incompetent leader, however, can also induce follower virtuousness. Leader engagement refers to positive attitudes of leaders toward followership roles. I mentioned in Chapter 2 that leaders' "coming down" is relational capacity, which indicates initiative in involving followers, authenticity and responsibility toward the relationship, and consideration of followers' interests. Relational capacity encourages followers to strive to elevate the relationship.³

Relationship characteristics such as governance, structure, and dynamics (see Chapter 2) also determine the virtuousness of followers. First, governance specifies the standards or rules of acceptable behavior and enables followers to behave aretaically for the collective good, which in turn guides the flourishing tendencies and behaviors of followers. Second, relationship structure (e.g., complexity) fosters relational virtues and capacities that enable the integration of positive behaviors. Third, relationship dynamics induce follower virtuousness by transforming difficult interactions into benign and exciting ones.

Virtuousness is not a zero-sum game. Relationship conditions, the distinctive nature and ways in which follower motivations and dispositions guide the relationship, shape follower virtuousness. Followers' willingness to view the leader as a partner with whom to have shared influence as well as their willingness to maintain the relationship in a way that, though less visible or strong, is nonetheless excellent are internal conditions that shape virtuousness. Excellence is manifested in the accepting and terminating conditions of followers. Other features of relationship conditions—situational strength and moral reasoning—also moderate the relationship between virtuous followership and both (a) antecedents and (b) proximal outcomes. For simplicity, the former is referred to as input moderation and the latter as output moderation. Followers who have strong morals tend to exhibit virtuous behavior but not vice versa. The likelihood that virtue will be exhibited is heightened by the person's moral development stage such that moral development moderates the relationships between follower attributes and virtuous followership (see

figure 7.1). Specifically, those at higher levels of moral development are seen as more likely to recognize the effects of their cognitions, affect, motivations, and experiences on their virtuousness. Moral reasoning also alters the effects of virtuous followership on proximal outcomes by enhancing or nullifying various effects. The aretaic qualities of followers are dampened if followers' reasoning about their actions is hampered. For example, pre-conventionalists may be unable to discern that opposing a leader, though unpalatable, is nonetheless worthwhile in the long run if it promotes the greater good. Post-conventionalists, on the other hand, recognize the collective good such that a higher purpose is viewed as more ennobling than individual interest. Further, followers who have high moral development show greater capacities relative to those of low moral development such that pre-conventionalists prefer to regulate themselves using the policies and rules provided for them while conventionalists exercise autonomy based on principles that promote collective good. Regulative, adaptive, and moral capacities all may be higher in the latter than the former.

Situational strength has the potential to enhance or nullify the effects of follower, leader, and relationship attributes on virtuous behavior. What a follower does in one situation is not necessarily effective in another situation. For example, a follower who sees a need to challenge an executive for inappropriate behavior, and does so too late or too early in a manner that is deemed too harsh or too weak may be ineffective because of the inability to discern the appropriate time and manner of the response.

Outcomes of Virtuous Followership

Virtuous followership yields outcomes for followers, leaders, relationships, and organizations. Psychological ownership, a cognitive outcome, is experienced as followers develop positive feelings for the leader and the relationship. For followers, developing a sense of ownership and transparency contributes to enhancing follower potential. In addition, virtuousness provides psychological capital for followers. Virtuous followers experience greater satisfaction. Personal satisfaction and job satisfaction also result from the other orientation of virtuous followership and the admiration of coworkers, respectively. Other outcomes include attraction of greater reputation or esteem and enhanced integrity. Good reputation yields opportunities that may be exploited by followers. Further, followers who behave virtuously are likely to perform well because of the excellence embedded in virtuousness and experience of a boomerang effect.

Virtuous followership enhances leader outcomes by directly and indirectly magnifying their overall positive influence. It strengthens leader efficacy beliefs. Leadership efficacy refers to a leader's beliefs in his/her perceived capabilities to organize the positive psychological capabilities, motivation, means, collective resources, and courses of action required to attain effective, sustainable performance across the various leadership roles, demands, and contexts. Ineffective leaders especially might be moved to seek excellence upon observing the virtuousness of followers. Similar to followers, leaders may experience positive affectivity such as satisfaction and enthusiasm from virtuousness, which may amplify and/or buffer other negative tendencies. Behavioral outcomes for leaders emerge from virtuous followership.

The outcomes of virtuous followership are not limited to only the individual follower and leader; they also impact the relationship positively. Collective efficacy, for example, results from the individual behaviors of followers and leaders who are beneficiaries of virtuous followership. Related to collective efficacy is the viability of the relationship, which depends on positive behaviors of followers as much as those of leaders. Relational virtues and capacities prop up the relationship in difficult periods, thereby increasing its viability. Furthermore, the sense of contentment in the relationship arising from the affectivity of the follower and leader increases and creates a climate of positivity, which induces continued desire to sustain the relationship. Finally, by contributing aretaic qualities in the form of traits and capacities, followers enable the relationship to excel and develop.

Distal outcomes relate to the organization as a whole. The entire organization is influenced positively when virtuousness is displayed, especially by individuals in leadership positions through the contagion of followers' virtuousness. Studies show that virtuous behaviors of employees (and followers) contribute to organizational outcomes by minimizing the deleterious effects of downsizing, for example. Follower and leader satisfaction can spread to coworkers through amplification and contagion effects. In addition, virtuous followership enhances organizational learning. Relational virtues not only facilitate positive interactions, but also induce the best in others, which can optimize creativity. The focus of relational virtues on positivity and excellence of individuals suggests they can foster the sharing of experiences and knowledge. Finally, virtuous followership can ultimately improve overall organizational performance through its contribution to the performance of followers, leaders, coworkers, and interrelationships. Because virtuous followers seek the best for their organizations, they are likely to excel at not only task performance but also citizenship behaviors while avoiding negative deviance. Virtuous followership can

also enhance the organizational climate, which improves interpersonal and group interactions. Finally, virtuous followership highlights the potential of others, which induces positive perceptions enterprise-wide.

Summary

Virtuousness is a set of activities, values, emotions, and consequences that are positively deviant. Virtuous tendencies are intrinsically motivated, oriented toward the betterment of human beings, and extend beyond self-interest. Virtuousness is associated with objective and perceived performance relative to competitors, the industry average, past performance, and stated goals, which suggest it has pragmatic value. Consistent with that view, I discuss the states, process, and conditions of virtuous followership. I argue that it contributes strategic value to the organization. Similar to neuro-followership, virtuous followership is an extension of restorative and transcendent followership.

Managerial Implications

Throughout the book, I have discussed how scholars can study strategic followership. However, research insights must be used by practitioners. In management, there is a lament about the research-practice gap. One reason is the utility of research for practice. To bridge that gap, I focus on practitioners in this chapter by discussing how managers can benefit from strategic followership. I limit the discussion to mechanisms managers can establish to maximize the value of strategic followership. Strategic followership influences organizational processes, systems, and outcomes in much the same way that strategic leadership has done. Just as organizations have to establish mechanisms to exploit the value of strategic leadership, managers have to also do the same in the context of strategic followership. Strategic followership is capable of spiraling across levels and units if organizations *enable* or do not *constrain* it. Enabling behaviors are promotive in contrast to constraining behaviors, which are preventive. These mechanisms are summarized in table 8.1.

Implications for Restorative Followership

Restorative followership centers on corrective behaviors of followers that yield value to organizations. Such behaviors should be appreciated and encouraged by managers. To facilitate more of such behaviors, managers have to establish enabling structures (see table 8.1). Enabling structures create conditions that induce followers to enact restorative behaviors. They include constructive cultures. Behavioral norms, values, and beliefs that allow followers to address, correct, and even resist negative (e.g., toxic) leadership behaviors are constructive. Constructive cultures enable followers to voice objections to views, attitudes, and actions that can potentially

Table 8.1 How managers facilitate strategic followership

<i>Strategic followership components</i>	<i>Followership situation</i>	<i>Enabling mechanism</i>	<i>Constraining mechanism</i>	<i>Comment</i>
Restorative	Bad leadership	Constructive culture Constructive disobedience Incentive structures Support systems	Aggressive cultures Blind obedience Punishment structures Destructive conflict	Single context
Transcendent	Good leadership	Participative structures Support systems Positive climate	Punishment structures Destructive conflict Opposition	Single context
Virtuous	Bad or good leadership	Virtuous culture Participative instruments	Cynicism Enemy-ship	Single context with alternative
Neuro	Both bad and good leadership	Balance mechanisms Multiplex systems	Linear thinking	Dual context

harm the organization. When organizations disapprove, reprimand, or punish followers for restorative behaviors, they constrain future restorative behaviors.

Along with constructive cultures, managers may consider constructive disobedience. Constructive, as opposed to destructive, disobedience refers to opposition of harmful leadership influence that generates positive organizational outcomes.¹ Destructive disobedience should not be tolerated. However, constructive disobedience allows followers to resolve problems before they turn into a crisis. It is a check mechanism that counterbalances the power and all-too-often toxic leaders. Constructive disobedience mechanisms are explicit devices that counter blind obedience, a factor that contributes to bad leadership.

Another important factor for managers to consider is how to incentivize followers to engage in restorative behaviors. My contention in this book is that followers can contribute strategic value through restorative behaviors. The challenge is how to marshal their “restorative potential” to the good of the organization. Incentive structures can help. By rewarding followers for such behaviors, managers implicitly endorse those behaviors. Beyond the endorsement, managers motivate followers to persist in demonstrating restorative behaviors. Managers can also use incentives to direct desired restorative behaviors. That direction seems essential if they want to block excesses, slack, and deviations. In other words, incentives can align restorative behaviors.

Incentives complement support systems that are geared toward restorative behaviors. As subordinates, followers are often wary of the receptivity of managers toward their restorative behaviors. It is very common for managers to oppose good behaviors of subordinates for no other reason but the status of the follower. Support systems moderate, reduce, or eliminate opposition to restorative behaviors. They also reinforce the determination of followers to contribute meaningfully to the organization. Support systems include models (supervisory or otherwise), vivid illustrations of desired behaviors, and reinforce expected behaviors or help eliminate scruples of followers.

All the above are enabling mechanisms that managers may establish to maximize the strategic value of followership. However, such mechanisms are necessary but not sufficient; they have to be supplemented with the removal of constraining mechanisms. Enabling mechanisms are likely to be “swallowed” by constraining mechanisms if they coexist. Because organizations are historically structured to *constrain* behaviors and attitudes but not to *enable*, this tradition is likely to subsume more positive tendencies.

Constraining mechanisms include aggressive cultures where subordinates tend to avoid actions that may be construed as turf intrusion. Rather than seek the welfare of the leader, followers are driven to focus on competitive behaviors. Another mechanism is the tolerance of blind obedience. All too often such behavior undermines the long-term viability of the relationship or company. Punishment which has positive effects for individuals whose reactance is positive (“I’ll show you or prove you wrong”), can yield negative effects by deterring repetition of constructive behaviors. Punishment limits strategic followership and becomes a contagion that transfers to other individuals or workers who might have had positive attitudes and behaviors.

Another constraining mechanism is destructive conflict (conflict that hinders effective interaction or “poisons” the work context). Such conflict may center on the positive contribution of followers, particularly if there are vexatious workers. The flammability of conflict often leads it to engulf areas, issues, and individuals who were not part of the initial flare-up. Conflict negatively affects climate and limits support, exchange of information, and modeling of desired behavior.

Implications for Transcendent Followership

Unlike restorative followership, which is based on upliftment as in salvage, transcendent followership is based on upliftment as in promotion. They differ in the zone of operation. While restorative followership focuses on

bringing the relationship from the negative zone to the neutral zone (i.e., restorative zone), transcendent followership focuses on bringing the relationship from the neutral zone to a positive zone (i.e., transcendent zone).

The transcendent zone has implications for managers. The positivity of the transcendent zone suggests that managers can engineer the zone to yield greater value. The proportion of transcendent followership's value relative to restorative followership can be magnified by extending the duration of followers in this zone. The more followers exhibit transcendent behaviors, the greater the value to organizations. Managers can increase transcendent followership by establishing participative structures within organizations. Participative structures enable subordinates to contribute more meaningfully. They draw out the goodness of followers and allow them to exhibit extraordinary behaviors. Through participative structures, followers assume ownership ideas, processes, and initiatives. That ownership drives them to persist in their transcendent behaviors.

Support systems also enable transcendent followership. The positive behaviors of followers are likely to endure more when there is support. As in the context of restorative behaviors, subordinates are more likely to engage in transcendent followership when there is backing by managers and executives. The backing manifests in the form of recognition or commendation. Support systems also reinforce the drive of followers to engage in extraordinary behaviors that uplift the organization. Furthermore they facilitate positive climate. Psychological climate, the perception of individuals about the positivity of the organizational environment, manifests at the organizational level as an aggregate. Positive climates suggest that employees (and followers, for that matter) view the organizational environment as characterized by upliftment.

Constraining mechanisms for transcendent followership include structures and systems that impede the extraordinariness of followers. Three mechanisms are punishment structures, destructive conflict, and opposition. To the extent that negative effects of punishment exist, it dampens or stifles transcendent behaviors of followers. They also blunt strategic followers' positive attitudes and behaviors. As I argued above, destructive conflict constrains transcendent followership because it deters active agency and has viral effects; it can engulf the environs of transcendent followership. Unlike support, which "moves forward" transcendent followership, opposition "moves backward" transcendent behaviors. The authority and control structures of organizations suggest that followers are unlikely to exhibit transcendent behaviors if they perceive opposition, particularly from their supervisors or managers. For fear of losing departmental or organizational rewards, followers cannot but adhere to the authority norms.

Implications for Neuro-Followership

The strategic value of neuro-followership can be obtained if managers exploit the modulatory capabilities of followers. The neural functions of individuals enable them to switch between tasks, activities, and events. Managers can “engineer” followers to effectively and efficiently modulate between desired activities and task while avoiding those that are not beneficial to organizations. Of course, this is not to suggest that managers have to subject followers through magnetic resonance imaging (MRI) procedures to identify their unique neural spots and processes. Emergent research has begun to identify these areas. Managers only have to examine the relevant literature to develop strategies consistent with the identified behaviors.²

Nevertheless, managers can provide mechanisms that enable followers to effectively balance conflicting or diametric activities. Like fulcrums, such balance mechanisms enable followers to absorb the countering weights of tasks or activities. One type of balance mechanism that is essential for strategic followership is support. I refer to all types of support within the organization including supervisory, leadership, and organizational. These forms of support have generally been shown to yield positive outcomes. A second type of balance mechanism is voice, the extent to which a follower can communicate either satisfaction or dissatisfaction about a followership situation. Voice enables followers to lower dissatisfaction and to increase satisfaction. To the extent that managers provide voice for followers, they facilitate not only reduction of discontent but also opportunity for transcendent and restorative behaviors.

Balance mechanisms are predicated on dual followership situations. However, as I discussed above, followers sometimes encounter multiple situations (e.g., matrix organizations). Multiplex systems therefore enable followers to fit in such contexts. Multiplex systems are adaptive mechanisms that aid individuals to function in contexts characterized by multiple stimuli. By providing such systems, managers assist followers to enact their roles effectively. One multiplex system that may be useful is teams. There are multiple role senders and receivers. Teams are complex units of overlapping groups of interpersonal relationships, each with its own micro network of core and peripheral structures, social climate, norms, and history that prop up followership roles. Teams facilitate dynamic or nonlinear thinking. If they are structured to minimize groupthink, social loafing, and free riding, teams can facilitate neuromodulatory activities that manifest in explicit strategic followership behaviors.

Linear thinking represents a constraint that limits followers. Managers who are linear thinkers focus exclusively on one problem, activity, or task at a time. In other words, they think differentiatedly. Similarly, followers

who are linear thinkers are likely to view followership problems in a linear fashion. They might prefer to complete one task in the followership role before shifting to another. The linear thinking style seems appropriate when dealing with single situations as in restorative or transcendent followership. However, when a follower encounters dual or multiple situations, linear thinking tends to be problematic because of the profusion of diverse stimuli. Managers therefore have to strive to remove linear thinking constraints to enable that followers excel in their roles.

Implications for Virtuous Followership

There are a number of questions about the value of virtuous followership. Answers to these questions yield implications for managers. First, should managers encourage subordinates to demonstrate virtuous followership behaviors? If leaders are expected to demonstrate virtuous behaviors, why should followers not be encouraged to demonstrate virtuous behaviors? The virtuous behaviors of followers complement those of leaders. Second, can managers influence subordinates to demonstrate virtuous behaviors? Again, the answer is yes. Virtuous behaviors are positive actions. Human nature is generally oriented toward pleasure and avoidance of pain. As a result, subordinates will be oriented toward virtuous behaviors if the appropriate stirrers are applied. Of course, virtuous behaviors are intrinsic. However, virtues can be extrinsically induced in various ways including modeling, encouraging, affirming, recognizing, and constructively challenging. Managers can therefore influence followers' virtuous behavior through primary modeling (i.e., self-modeling) or secondary modeling (i.e., using other coworkers or managers). Recognition and affirmation attitudes and behaviors can enhance modeling. By constructively challenging followers, managers activate the goodness of the latter followers. Third, why do managers have to encourage virtuous followership? The commonsense answer is that virtuous behaviors enhance the social processes of organizations that are critical to individual and group productivity. Since managers have a responsibility, if not duty, to develop subordinates, create conducive work environments, and maximize productivity of their units, any actions that can enhance these outcomes should be supported.

Managers may also establish or facilitate positive values, beliefs, and norms within the department or organization. Virtuous cultures are often created. To the extent that followers observe the authenticity of organizations in the positive beliefs, values, and normative behaviors, they are likely to live by them and to influence others to do the same. The other enabling

mechanisms discussed in transcendent followership may also apply to virtuous followership. Participation structures, for example, are likely to induce followers toward virtuous behaviors.

Managers may also influence virtuous followership by establishing systems that reduce or eliminate cynicism within the organization. Individuals tend to be distrusting or disparaging of the motives of others, particularly when there is evidence of disappointments. Cynicism involves showing contempt for conventional standards of honesty or morality by one's actions. It also involves actions that exploit the scruples of others. As a result, it can constrain virtuous followership. Managers therefore have to ensure that trust mechanisms and models of morality are established. Devices that increase unscrupulousness may complement the other mechanisms. Enemy-ship, the tendency for individuals to perceive that others seek or intend to do them harm, may also be minimized. When followers perceive that either supervisors or coworkers intend to do them harm, they may be constrained to exhibit virtuous behaviors. Enemy-ship is a human frailty but it is often not acknowledged in Western contexts as much as other (e.g., Africa) contexts. Nonetheless, it exists in organizations in the form of negative deviance behaviors. Managers should therefore strive to reduce feelings or tendencies of enemy-ship. Along with cynicism, enemy-ship inhibits virtuous followership behaviors.

Conclusion

In conclusion, managers have the opportunity to maximize the potential of followers by establishing enabling mechanisms and removing inhibiting structures. The four ways discussed in this book—restorative, transcendent, virtuous, and neural—all have strategic value. Managers have to discern how to achieve that value. I have made one major assumption: followers are willing and eager to contribute optimal value to their organizations. This assumption is supported by various studies that show diverse ways in which followers can contribute value to organizations. Managers therefore have to harness that potential to their organizations' advantage. To the extent that my assumption is wrong, the basis for strategic followership may be reengineered. In other words, managers have to ensure that they understand the followers in their organizations. Their readiness is critical to the strategic value they contribute.

Notes

Introduction

1. The conference was intended to benefit those Baylor University students who are studying international business. It was a five-day (Monday, March 18, through Friday, March 22, 2013) conference, but the major event was on Thursday, March 21. The speakers either were Africans or had some tenure and experience of Africa. The conference focused on policies, environment, resources, and practices.
2. These are actual responses offered by MBA students to the question “In the workplace, who is a follower?”
3. They include leader-member exchange (LMX) theory; charismatic leadership, which began with a consideration of the qualities followers identify with and react to; the relational view; as well as the triadic and collective relationship-based theories.
4. Followership as it relates to executives and boards of directors is more nuanced and complicated than that of operatives and managers. As Finkelstein, Hambrick, and Cannella (2009) indicate, the dynamics of executives and boards of directors do not easily map into the domain covered by operational leadership, the obverse of followership.

Chapter 1

1. See the online business dictionary (<http://www.businessdictionary.com>).
2. Goffman (1967) defines gameness as “the capacity to stick to a line of activity and to continue to pour all effort into it regardless of set-backs, pain, or fatigue, and this is not because of some brute insensitivity but because of inner will and determination” (p. 219).
3. It must be noted that the fact that people act rationally has been recognized by many sociologists including Weber (1920), who built an influential typology of action around rationality; Parsons (1937) in his *Structure of Social Action*; Malinowski (1922); and Mauss (1925), who looked at how social exchange was embedded in structures of reciprocity and social obligation. However, they view rational actions in addition to other forms of action; to them, human action involves both rational and nonrational elements.

4. George (1961) is arguably the progenitor of RCT; he set out a basic framework of exchange theory, and grounded it in behaviorist psychology assumptions. During the 1960s and 1970s, other scholars (e.g., Blau, 1964; Coleman, 1973) extended and enlarged his framework, and helped to develop more formal, mathematical models of rational action (see also Coleman, 1990).
5. Mental models are instruments, not keys. Individuals relying on them are sometimes wrong or sometimes right. What is significant about them is that they shape the interactions of individuals vis-à-vis the social events or situations they encounter.
6. Child (1997, p. 45).
7. See Atkinson and Birch (1970).

Chapter 2

1. A common saying among the people of Ghana, a country in West Africa, is that when you ask a person a question, he/she responds with a question. For example, when asked whether it is true that Ghanaians answer questions with questions, she responds that “who told you?” the person has, instead of answering in the affirmative or otherwise, has instead asked a question, a response that was not desired.
2. Francis Bacon, the English philosopher and statesman, described individuals, not necessarily employees, as such. However, employees are individuals and therefore likely to be costly, factious, glorious, and dangerous.
3. The inducements-contributions model views the employment exchange as one where the organization offers inducements in return for employee contributions (see March and Simon, 1958).

Chapter 3

1. Online and in print.
2. Effective strategizing requires assessment of the environmental conditions (opportunities and threats) vis-à-vis the potential (strengths and weaknesses) of the person or organization. Essentially, the actor appraises the challenges she has to overcome to succeed at achieving her goal.
3. See Warren (2003) as well as Spreitzer and Sonenshein (2004).
4. See Hackman (2009), who argues that positivity has perils.
5. This is similar to Cameron (2003) and Bright, Cameron, and Caza (2006)’s continua, which focus on illness (negative deviance), health (normal), and wellness (positive deviance).
6. Several books have discussed the ways followers can be bad (see Riggio, Chaleff, and Lipman-Blumen, 2008).
7. <http://content.time.com/time/specials/packages/0,28757,2022164,00.html>. Accessed on January 20, 2014.
8. See Kellerman (2004) on Bad Leadership.

9. Based on temporal construal theory (Liberman and Trope, 1998).
10. http://articles.chicagotribune.com/2013-06-10/news/chi-edward-snowden-nsa-leaks-20130610_1_u-s-justice-department-regina-ip-hong-kong.
11. <http://www.guardian.co.uk/commentisfree/2013/jun/14/edward-snowden-worst-fear-not-realised>.
12. <http://www.politico.com/story/2013/06/edward-snowden-interview-nsa-hacking-operations-92658.html>.
13. For review, see Schlenker (1980), who discussed impression management vis-à-vis the self, identity, and interpersonal relations, and Schlenker (2002), who examined self-presentation.
14. Edward Snowden, a former computer technician for the Central Intelligence Agency and current Booz Allen employee, came forward Sunday as the source of the information. So far, the leaks have revealed that the NSA looks at personal data of targeted foreigners and Americans connected to them with at least some consent from technology giants like Facebook and Google. The agency also gathers records on phone calls placed within the country and processes a huge amount of domestic and international data each month. (<http://www.latimes.com/business/money/la-fi-mo-booz-allen-leak-snowden-20130610,0,3970182.story>)
15. http://www.huffingtonpost.com/2013/06/12/edward-snowden-search_n_3431161.html.
16. In the “Rush to War” document (<http://www.rushtowar.com/>) those intricately involved refute the intelligence failure claim.
17. In the strategic alliance literature, there are organizations that create value from competitive behavior. They differ from those that create value from cooperative behavior. The organizations in the alliance may be followers in terms of the amount of equity they have in the joint venture.

Chapter 4

1. For such behaviors, see Barbara Kellerman (2008), who discusses how followers are complicit in bad leadership.
2. In his book *The Tipping Point*, Malcolm Gladwell (2000) defines the Stickiness factor as the quality that compels people to pay close, sustained attention to a product, concept, or idea. Stickiness often depends heavily on context and is generated in ways that are unconventional, unexpected, and contrary to received wisdom.
3. I withhold the name of the university for confidentiality purposes.
4. Similar relations are defined by Kellerman (2008). However, unlike Kellerman (2008), who focuses on the contributions or aggravating behaviors of followers to the negative or bad leadership situations, I focus on followers’ restorative behaviors. The same applies to insular and other types of situations.
5. <http://www.nytimes.com/2006/10/19/sports/othersports/19hodler.html?page=wanted=print&r=0>.

6. See 60 Minutes Interview of February 4, 1996. The two-part “60 Minutes” story aired in 1996 and inspired a Hollywood film (“The Insider,” starring Russell Crowe) as well as countless articles and university lectures
7. See 60 Minutes Interview of February 4, 1996. The two-part “60 Minutes” story aired in 1996 and inspired a Hollywood film (“The Insider,” starring Russell Crowe) as well as countless articles and university lectures
8. <http://www.jeffreywigand.com/60minutes.php>.
9. This quotation and the subsequent others are from the following source: Patricia Sellers (1998), “Exit for Chainsaw? Sunbeam’s Investors Draw Their Knives,” *Fortune*, June 8.
10. As I indicate in Endnote 4, there are similarities and differences between the definitions and contexts I identify and those defined by Kellerman (2008).
11. For power distance, see Hofstede (2001). For egalitarianism, see Schwartz (1992).
12. See Sherron Watkins’ e-mail to Ken Lay: <https://umdrive.memphis.edu/jturner1/www/ACCT7241/Articles/Sherron%20Watkins%20eMail%20to%20Enron%20Chairman%20Kenneth%20Lay.pdf>. Accessed on December 14, 2013.
13. http://www.nytimes.com/2006/05/26/business/businessspecial3/26houston.html?_r=0. Accessed on January 7, 2014.
14. See 60 Minutes interview of February 4, 1996. The two-part 60 Minutes story aired in 1996 and inspired a Hollywood film (*The Insider*, starring Russell Crowe) as well as countless articles and university lectures.
15. <http://www.hyperorg.com/blogger/images/enronletter.pdf>. Accessed on February 17, 2014.
16. See <http://www.nrdc.org/energy/files/bpoildisasteroneyear.pdf> on BP Oil spill. Accessed on October 15, 2013.

Chapter 5

1. When I posed these questions to my undergraduate seniors ($n = 50$), 98.3 percent responded negatively to the questions.
2. Cooper and Wright (1992) edited a book on exemplary public administrators. The behaviors of followers described in that book are transcendent, consistent with the definition in this book.
3. Mainemelis (2010) defines creative deviance as “the violation of managerial order to stop working on a new idea” (p. 560). In this case, the bereaved employee is violating social norms that bereaved individuals stay away from work to mourn the dead.
4. Colorado Springs, Colorado, on March 16, 2012: <http://carnegiehero.org/awardees/>. Accessed on November 31, 2013.
5. <http://www.goodnewsnetwork.org/most-popular/carnegie-heros-dec-2010.html>. Accessed on November 12, 2013.
6. See Michael Lewis’ *The Big Short: Inside the Doomsday Machine* and *Flash Boys: A Wall Street Revolt*, and his 60 Minutes interview, “ValueWalk.”

7. My conversation with Mr. Okranie pricked me to consider writing a book that focuses on achieving extraordinary outcomes.
8. I do not use transcendence and immanence in the philosophical, theological, or spiritual sense as in studies by Martin Heidegger, Peter Gärdenfors, Hume, and Levinas. Instead, I use them in the ordinary meaning as defined in the New Oxford American Dictionary (2001), “surpassing the ordinary; exceptional,” “going beyond ordinary limits; surpassing; exceeding,” and “remaining within; indwelling; inherent.”
9. See also Cooper and Wright (1992), who describe exemplary behaviors in public organizations.
10. Kidder (2005) focuses on only physical and moral courage. However, I believe relationships require courage. That is why I prefer the term relational courage. It manifests in diverse relationships.
11. The administrators described in Cooper and Wright (1992) demonstrate all these three forms of courage, particularly the last two forms.
12. See Deci and Ryan (2000) and their Web site on self-determination (<http://www.selfdeterminationtheory.org/questionnaires/10-questionnaires/50>).

Chapter 6

1. In a study examining neural mechanisms involved in reciprocal imitation, Decety, Chaminade, Grezes, and Meltzoff (2002) argue that imitation is a major natural mechanism that explains the perception-action coupling. The authors used positron emission tomography PET to examine the hemodynamic changes occurring in a reciprocal imitation where subjects imitated the actions of the experimenter, had their actions imitated by the experimenter, and freely produced actions while watching different actions made by the experimenter. They found that specific increases were detected in the left superior temporal sulcus STS and in the inferior parietal cortex in conditions involving imitation. The left inferior parietal is specifically involved in producing imitation. The pattern of results suggests that the interior parietal cortex region plays a specific role in distinguishing internally produced actions from those generated by others.
2. Chaminade and Decety (2002).
3. There could also be triple and quadruple roles. Obviously, the more roles a follower occupies, the more challenging it is for him/her to execute those roles effectively.
4. In discussing bad leadership, Kellerman (2004, 2008) observed that some followers are complicit in bad leadership.
5. The strategic literature refers to this as sequential ambidexterity. See O'Reilly and Tushman (2013).
6. These behaviors are similar to border crossing in the work-family balance literature. See Clark (2000), who stipulates that individuals traverse work and family domains on a daily basis as they shift between work and home.
7. It is often expressed as an efficiency frontier in economics and strategic management literatures.

Chapter 7

1. They align with the four cardinal virtues—prudence, justice, fortitude, and temperance—and with wisdom and knowledge, courage, love, justice, temperment, and transcendence.
2. Complexity followership is an important aspect that should be looked at. It complements complexity leadership, which has been examined in the leadership literature.
3. It must be noted that even though the focus here is on leaders, relational capacity applies to followers as well.

Chapter 8

1. It is similar to creative deviance but with a specific and broader focus. Unlike creative deviance, which focuses on violations of order to stop working on a new idea, constructive disobedience is obviating corporate norms for a good cause.
2. The NeuroLeadership Institute, which is a practitioner-oriented forum for the dissemination of information and studies on neuroscience, can be leveraged. See www.neuroleadershipinstitute.org. Journals that are oriented toward neuroscience, particularly nonacademic ones, can also provide useful information.

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