

## Choosing strategies for change

John P. Kotter  
and Leonard A. Schlesinger

"It must be considered that there is nothing more difficult to carry out, nor more doubtful of success, nor more dangerous to handle, than to initiate a new order of things."<sup>1</sup>

In 1973, The Conference Board asked 13 eminent authorities to speculate what significant management issues and problems would develop over the next 20 years. One of the strongest themes that runs through their subsequent reports is a concern for the ability of organizations to respond to environmental change. As one person wrote: "It follows that an acceleration in the rate of change will result in an increasing need for reorganization. Reorganization is usually feared, because it means disturbance of the status quo, a threat to people's vested interests in their jobs, and an upset to established ways of doing things. For these reasons, needed reorganization is often deferred, with a resulting loss in effectiveness and an increase in costs."<sup>2</sup>

Subsequent events have confirmed the importance of this concern about organizational change. Today, more and more managers must deal with new government regulations, new products, growth, increased competition, technological developments, and a changing work force. In response, most companies or divisions of major corporations find that they must undertake moderate organizational changes at least once a year and major changes every four or five.<sup>3</sup>

Few organizational change efforts tend to be complete failures, but few tend to be entirely successful either. Most efforts encounter problems; they often take longer than expected and desired, they sometimes kill morale, and they often cost a great deal in terms of managerial time or emotional upheaval. More than a few organizations have not even tried to initiate needed changes

because the managers involved were afraid that they were simply incapable of successfully implementing them.

In this article, we first describe various causes for resistance to change and then outline a systematic way to select a strategy and set of specific approaches for implementing an organizational change effort. The methods described are based on our analyses of dozens of successful and unsuccessful organizational changes.

## DIAGNOSING RESISTANCE

Organizational change efforts often run into some form of human resistance. Although experienced managers are generally all too aware of this fact, surprisingly few take time before an organizational change to assess systematically who might resist the change initiative and for what reasons. Instead, using past experiences as guidelines, managers all too often apply a simple set of beliefs—such as "engineers will probably resist the change because they are independent and suspicious of top management." This limited approach can create serious problems. Because of the many different ways in which individuals and groups can react to change, correct assessments are often not intuitively obvious and require careful thought.

Of course, all people who are affected by change experience some emotional turmoil. Even changes that appear to be "positive" or "rational" involve loss and uncertainty.<sup>4</sup> Nevertheless, for a number of different reasons, individuals or groups can react very differently to change—from passively resisting it, to aggressively trying to undermine it, to sincerely embracing it.

To predict what form their resistance might take, managers need to be aware of the four most common reasons people resist change. These include: a desire not to lose something of value, a misunderstanding of the change and its implica-

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tions, a belief that the change does not make sense for the organization, and a low tolerance for change.

### Parochial Self-Interest

One major reason people resist organizational change is that they think they will lose something of value as a result. In these cases, because people focus on their own best interests and not on those of the total organization, resistance often results in "politics" or "political behavior."<sup>5</sup> Consider these two examples:

- After a number of years of rapid growth, the president of an organization decided that its size demanded the creation of a new staff function—New Product Planning and Development—to be headed by a vice president. Operationally, this change eliminated most of the decision-making power that the vice presidents of marketing, engineering, and production had over new products. Inasmuch as new products were very important in this organization, the change also reduced the vice presidents' status which, together with power, was very important to them.

During the two months after the president announced his idea for a new product vice president, the existing vice presidents each came up with six or seven reasons the new arrangement might not work. Their objections grew louder and louder until the president shelved the idea.

- A manufacturing company had traditionally employed a large group of personnel people as counselors and "father confessors" to its production employees. This group of counselors tended to exhibit high morale because of the professional satisfaction they received from the "helping relationships" they had with employees. When a new performance appraisal system was installed, every six months the counselors were required to provide each employee's supervisor with a written evaluation of the employee's "emotional maturity," "promotional potential," and so forth.

As some of the personnel people immediately recognized, the change would alter their relationships from a peer and helper to more of a boss and evaluator with most of the employees. Predictably, the personnel counselors resisted the change. While publicly arguing that the new

system was not as good for the company as the old one, they privately put as much pressure as possible on the personnel vice president until he significantly altered the new system.

Political behavior sometimes emerges before and during organizational change efforts when what is in the best interests of one individual or group is not in the best interests of the total organization or of other individuals and groups.

While political behavior sometimes takes the form of two or more armed camps publicly fighting things out, it usually is much more subtle. In many cases, it occurs completely under the surface of public dialogue. Although scheming and ruthless individuals sometimes initiate power struggles, more often than not those who do are people who view their potential loss from change as an unfair violation of their implicit, or psychological, contract with the organization.<sup>6</sup>

### Misunderstanding & Lack of Trust

People also resist change when they do not understand its implications and perceive that it might cost them much more than they will gain. Such situations often occur when trust is lacking between the person initiating the change and the employees.<sup>7</sup> Here is an example:

When the president of a small midwestern company announced to his managers that the company would implement a flexible working schedule for all employees, it never occurred to him that he might run into resistance. He had been introduced to the concept at a management seminar and decided to use it to make working conditions at his company more attractive, particularly to clerical and plant personnel.

Shortly after the announcement, numerous rumors began to circulate among plant employees—none of whom really knew what flexible working hours meant and many of whom were distrustful of the manufacturing vice president. One rumor, for instance, suggested that flexible hours meant that most people would have to work whenever their supervisors asked them to—including evenings and weekends. The employee association, a local union, held a quick meeting and then presented the management with a nonnegotiable demand that the flexible

hours concept be dropped. The president, caught completely by surprise, complied.

Few organizations can be characterized as having a high level of trust between employees and managers; consequently, it is easy for misunderstandings to develop when change is introduced. Unless managers surface misunderstandings and clarify them rapidly, they can lead to resistance. And that resistance can easily catch change initiators by surprise, especially if they assume that people only resist change when it is not in their best interest.

### Different Assessments

Another common reason people resist organizational change is that they assess the situation differently from their managers or those initiating the change and see more costs than benefits resulting from the change, not only for themselves but for their company as well. For example:

The president of one moderate-size bank was shocked by his staff's analysis of the bank's real estate investment trust (REIT) loans. This complicated analysis suggested that the bank could easily lose up to \$10 million, and that the possible losses were increasing each month by 20%. Within a week, the president drew up a plan to reorganize the part of the bank that managed REITs. Because of his concern for the bank's stock price, however, he chose not to release the staff report to anyone except the new REIT section manager.

The reorganization immediately ran into massive resistance from the people involved. The group sentiment, as articulated by one person, was: "Has he gone mad? Why in God's name is he tearing apart this section of the bank? His actions have already cost us three very good people (who quit), and have crippled a new program we were implementing [which the president was unaware of] to reduce our loan losses."

Managers who initiate change often assume both that they have all the relevant information required to conduct an adequate organization analysis and that those who will be affected by the change have the same facts, when neither assumption is correct. In either case, the differ-

ence in information that groups work with often leads to differences in analyses, which in turn can lead to resistance. Moreover, if the analysis made by those not initiating the change is more accurate than that derived by the initiators, resistance is obviously "good" for the organization. But this, likelihood is not obvious to some managers who assume that resistance is always bad and therefore always fight it.<sup>8</sup>

### Low Tolerance for Change

People also resist change because they fear they will not be able to develop the new skills and behavior that will be required of them. All human beings are limited in their ability to change, with some people much more limited than others.<sup>9</sup> Organizational change can inadvertently require people to change too much, too quickly.

Peter F. Drucker has argued that the major obstacle to organizational growth is managers' inability to change their attitudes and behavior as rapidly as their organizations require.<sup>10</sup> Even when managers intellectually understand the need for changes in the way they operate, they sometimes are emotionally unable to make the transition.

It is because of people's limited tolerance for change that individuals will sometimes resist a change even when they realize it is a good one. For example, a person who receives a significantly more important job as a result of an organizational change will probably be very happy. But it is just as possible for such a person to also feel uneasy and to resist giving up certain aspects of the current situation. A new and very different job will require new and different behavior, new and different relationships, as well as the loss of some satisfactory current activities and relationships. If the changes are significant and the individual's tolerance for change is low, he might begin actively to resist the change for reasons even he does not consciously understand.

People also sometimes resist organizational change to save face; to go along with the change would be, they think, an admission that some of their previous decisions or beliefs were wrong. Or they might resist because of peer group pressure or because of a supervisor's attitude. Indeed, there

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are probably an endless number of reasons why people resist change.<sup>11</sup>

Assessing which of the many possibilities might apply to those who will be affected by a change is important because it can help a manager select an appropriate way to overcome resistance. Without an accurate diagnosis of possibilities of resistance, a manager can easily get bogged down during the change process with very costly problems.

## DEALING WITH RESISTANCE

Many managers underestimate not only the variety of ways people can react to organizational change, but also the ways they can positively influence specific individuals and groups during a change. And, again because of past experiences, managers sometimes do not have an accurate understanding of the advantages and disadvantages of the methods with which they are familiar.

### Education & Communication

One of the most common ways to overcome resistance to change is to educate people about it beforehand. Communication of ideas helps people see the need for and the logic of a change. The education process can involve one-on-one discussions, presentations to groups, or memos and reports. For example:

As a part of an effort to make changes in a division's structure and in measurement and reward systems, a division manager put together a one-hour audiovisual presentation that explained the changes and the reasons for them. Over a four-month period, he made this presentation no less than a dozen times to groups of 20 or 30 corporate and division managers.

An education and communication program can be ideal when resistance is based on inadequate or inaccurate information and analysis, especially if the initiators need the resisters' help in implementing the change. But some managers overlook the fact that a program of this sort requires a good relationship between initiators and

resisters or that the latter may not believe what they hear. It also requires time and effort, particularly if a lot of people are involved. •

### Participation & Involvement

If the initiators involve the potential resisters in some aspect of the design and implementation of the change, they can often forestall resistance. With a participative change effort, the initiators listen to the people the change involves and use their advice. To illustrate:

The head of a small financial services company once created a task force to help design and implement changes in his company's reward system. The task force was composed of eight second- and third-level managers from different parts of the company. The president's specific charter to them was that they recommend changes in the company's benefit package. They were given six months and asked to file a brief progress report with the president once a month. After they had made their recommendations, which the president largely accepted, they were asked to help the company's personnel director implement them.

We have found that many managers have quite strong feelings about participation—sometimes positive and sometimes negative. That is, some managers feel that there should always be participation during change efforts, while others feel this is virtually always a mistake. Both attitudes can create problems for a manager, because neither is very realistic.

When change initiators believe they do not have all the information they need to design and implement a change, or when they need the wholehearted commitment of others to do so, involving others makes very good sense. Considerable research has demonstrated that, in general, participation leads to commitment, not merely compliance.<sup>12</sup> In some instances, commitment is needed for the change to be a success. Nevertheless, the participation process does have its drawbacks. Not only can it lead to a poor solution if the process is not carefully managed, but also it can be enormously time consuming. When the change must be made immediately, it can take simply too long to involve others.

### Facilitation & Support

Another way that managers can deal with potential resistance to change is by being supportive. This process might include providing training in new skills, or giving employees time off after a demanding period, or simply listening and providing emotional support. For example:

Management in one rapidly growing electronics company devised a way to help people adjust to frequent organizational changes. First, management staffed its human resource department with four counselors who spent most of their time talking to people who were feeling "burnt out" or who were having difficulty adjusting to new jobs. Second, on a selective basis, management offered people four-week minisabbaticals that involved some reflective or educational activity away from work. And, finally, it spent a great deal of money on in-house education and training programs.

Facilitation and support are most helpful when fear and anxiety lie at the heart of resistance. Seasoned, tough managers often overlook or ignore this kind of resistance, as well as the efficacy of facilitative ways of dealing with it. The basic drawback of this approach is that it can be time consuming and expensive and still fail.<sup>13</sup> If time, money, and patience just are not available, then using supportive methods is not very practical.

### Negotiation & Agreement

Another way to deal with resistance is to offer incentives to active or potential resistors. For instance, management could give a union a higher wage rate in return for a work rule change; it could increase an individual's pension benefits in return for an early retirement. Here is an example of negotiated agreements:

In a large manufacturing company, the divisions were very interdependent. One division manager wanted to make some major changes in his organization. Yet, because of the interdependence, he recognized that he would be forcing some inconvenience and change on other divisions as well. To prevent top managers in other divisions from undermining his efforts,

the division manager negotiated a written agreement with each. The agreement specified the outcomes the other division managers would receive and when, as well as the kinds of cooperation that he would receive from them in return during the change process. Later, whenever the division managers complained about his changes or the change process itself, he could point to the negotiated agreements.

Negotiation is particularly appropriate when it is clear that someone is going to lose out as a result of a change and yet his or her power to resist is significant. Negotiated agreements can be a relatively easy way to avoid major resistance, though, like some other processes, they may become expensive. And once a manager makes it clear that he will negotiate to avoid major resistance, he opens himself up to the possibility of blackmail.<sup>14</sup>

### Manipulation & Co-optation

In some situations, managers also resort to covert attempts to influence others. Manipulation, in this context, normally involves the very selective use of information and the conscious structuring of events.

One common form of manipulation is co-optation. Co-opting an individual usually involves giving him or her a desirable role in the design or implementation of the change. Co-opting a group involves giving one of its leaders, or someone it respects, a key role in the design or implementation of a change. This is not a form of participation, however, because the initiators do not want the advice of the co-opted, merely his or her endorsement. For example:

One division manager in a large multibusiness corporation invited the corporate human relations vice president, a close friend of the president, to help him and his key staff diagnose some problems the division was having. Because of his busy schedule, the corporate vice president was not able to do much of the actual information gathering or analysis himself, thus limiting his own influence on the diagnoses. But his presence at key meetings helped commit him to the diagnoses as well as the solutions the group designed. The commitment was subsequently very

important because the president, at least initially, did not like some of the proposed changes. Nevertheless, after discussion with his human relations vice president, he did not try to block them.

Under certain circumstances co-optation can be a relatively inexpensive and easy way to gain an individual's or a group's support (cheaper, for example, than negotiation and quicker than participation). Nevertheless, it has its drawbacks. If people feel they are being tricked into not resisting, are not being treated equally, or are being lied to, they may respond very negatively. More than one manager has found that, by his effort to give some subordinate a sense of participation through co-optation, he created more resistance than if he had done nothing. In addition, co-optation can create a different kind of problem if those co-opted use their ability to influence the design and implementation of changes in ways that are not in the best interests of the organization.

Other forms of manipulation have drawbacks also, sometimes to an even greater degree. Most people are likely to greet what they perceive as covert treatment and/or lies with a negative response. Furthermore, if a manager develops a reputation as a manipulator, it can undermine his ability to use needed approaches such as education/communication and participation/involvement. At the extreme, it can even ruin his career.

Nevertheless, people do manipulate others successfully—particularly when all other tactics are not feasible or have failed.<sup>15</sup> Having no other alternative, and not enough time to educate, involve, or support people, and without the power or other resources to negotiate, coerce, or co-opt them, managers have resorted to manipulating information channels in order to scare people into thinking there is a crisis coming which they can avoid only by changing.

### Explicit & Implicit Coercion

Finally, managers often deal with resistance coercively. Here they essentially force people to accept a change by explicitly or implicitly threatening them (with the loss of jobs, promotion possibilities, and so forth) or by actually firing or

transferring them. As with manipulation, using coercion is a risky process because inevitably people strongly resent forced change. But in situations where speed is essential and where the changes will not be popular, regardless of how they are introduced, coercion may be the manager's only option.

Successful organizational change efforts are always characterized by the skillful application of a number of these approaches, often in very different combinations. However, successful efforts share two characteristics: managers employ the approaches with a sensitivity to their strengths and limitations (see *Exhibit 1* . . . ) and appraise the situation realistically.

The most common mistake managers make is to use only one approach or a limited set of them regardless of the situation. A surprisingly large number of managers have this problem. This would include the hard-boiled boss who often coerces people, the people-oriented manager who constantly tries to involve and support his people, the cynical boss who always manipulates and co-opts others, the intellectual manager who relies heavily on education and communication, and the lawyerlike manager who usually tries to negotiate.<sup>16</sup>

A second common mistake that managers make is to approach change in a disjointed and incremental way that is not a part of a clearly considered strategy.

## CHOICE OF STRATEGY

In approaching an organizational change situation, managers explicitly or implicitly make strategic choices regarding the speed of the effort, the amount of preplanning, the involvement of others, and the relative emphasis they will give to different approaches. Successful change efforts seem to be those where these choices both are internally consistent and fit some key situational variables.

The strategic options available to managers can be usefully thought of as existing on a continuum (see *Exhibit 2*).<sup>17</sup> At one end of the continuum, the change strategy calls for a very rapid implementation, a clear plan of action, and little

Exhibit 1. Methods for Dealing with Resistance to Change

Approach	Commonly used in situations	Advantages	Drawbacks
Education + communication	Where there is a lack of information or inaccurate information and analysis.	Once persuaded, people will often help with the implementation of the change.	Can be very time-consuming if lots of people are involved.
Participation + involvement	Where the initiators do not have all the information they need to design the change, and where others have considerable power to resist.	People who participate will be committed to implementing change, and any relevant information they have will be integrated into the change plan.	Can be very time-consuming if participants design an inappropriate change.
Facilitation + support	Where people are resisting because of adjustment problems.	No other approach works as well with adjustment problems.	Can be time-consuming, expensive, and still fail.
Negotiation + agreement	Where someone or some group will clearly lose out in a change, and where that group has considerable power to resist.	Sometimes it is a relatively easy way to avoid major resistance.	Can be too expensive in many cases if it alerts others to negotiate for compliance.
Manipulation + co-optation	Where other tactics will not work, or are too expensive.	It can be a relatively quick and inexpensive solution to resistance problems.	Can lead to future problems if people feel manipulated.
Explicit + implicit coercion	Where speed is essential, and the change initiators possess considerable power.	It is speedy, and can overcome any kind of resistance.	Can be risky if it leaves people mad at the initiators.

Exhibit 2. Strategic Continuum

Fast	Slower
Clearly planned. Little involvement of others. Attempt to overcome any resistance.	Not clearly planned at the beginning. Lots of involvement of others. Attempt to minimize any resistance.
Key situational variables	
The amount and type of resistance that is anticipated.	
The position of the initiators vis-à-vis the resisters (in terms of power, trust, and so forth).	
The locus of relevant data for designing the change, and of needed energy for implementing it.	
The stakes involved (e.g., the presence or lack of presence of a crisis, the consequences of resistance and lack of change).	



involvement of others. This type of strategy mows over any resistance and, at the extreme, would result in a fait accompli. At the other end of the continuum, the strategy would call for a much slower change process, a less clear plan, and involvement on the part of many people other than the change initiators. This type of strategy is designed to reduce resistance to a minimum.<sup>18</sup>

The further to the left one operates on the continuum in Exhibit 2, the more one tends to be coercive and the less one tends to use the other approaches—especially participation; the converse also holds.

Organizational change efforts that are based on inconsistent strategies tend to run into predictable problems. For example, efforts that are not clearly planned in advance and yet are implemented quickly tend to become bogged down owing to unanticipated problems. Efforts that involve a large number of people, but are implemented quickly, usually become either stalled or less participative.

### Situational Factors

Exactly where a change effort should be strategically positioned on the continuum in Exhibit 2 depends on four factors:

1. The amount and kind of resistance that is anticipated. All other factors being equal, the greater the anticipated resistance, the more difficult it will be simply to overwhelm it, and the more a manager will need to move toward the right on the continuum to find ways to reduce some of it.<sup>19</sup>

2. The position of the initiator vis-à-vis the resistors, especially with regard to power. The less power the initiator has with respect to others, the more the initiating manager must move to the left on the continuum.<sup>20</sup> Conversely, the stronger the initiator's position, the more he or she can move to the right.

3. The person who has the relevant data for designing the change and the energy for implementing it. The more the initiators anticipate that they will need information and commitment from others to help design and implement the change, the more they must move to the right.<sup>21</sup> Gaining useful information and commitment requires time and the involvement of others.

4. The stakes involved. The greater the short-run potential for risks to organizational performance and survival if the present situation is not changed, the more one must move to the left.

Organizational change efforts that ignore these factors inevitably run into problems. A common mistake some managers make, for example, is to move too quickly and involve too few people despite the fact that they do not have all the information they really need to design the change correctly.

Insofar as these factors still leave a manager with some choice of where to operate on the continuum, it is probably best to select a point as far to the right as possible for both economic and social reasons. Forcing change on people can have just too many negative side effects over both the short and the long term. Change efforts using the strategies on the right of the continuum can often help develop an organization and its people in useful ways.<sup>22</sup>

In some cases, however, knowing the four factors may not give a manager a comfortable and obvious choice. Consider a situation where a manager has a weak position vis-à-vis the people whom he thinks need a change and yet is faced with serious consequences if the change is not implemented immediately. Such a manager is clearly in a bind. If he somehow is not able to increase his power in the situation, he will be forced to choose some compromise strategy and to live through difficult times.

### Implications for Managers

A manager can improve his chance of success in an organizational change effort by:

1. Conducting an organizational analysis that identifies the current situation, problems, and the forces that are possible causes of those problems. The analysis should specify the actual importance of the problems, the speed with which the problems must be addressed if additional problems are to be avoided, and the kinds of changes that are generally needed.

2. Conducting an analysis of factors relevant to producing the needed changes. This analysis should focus on questions of who might resist the change, why, and how much; who has information that is needed to design the change, and

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whose cooperation is essential in implementing it; and what is the position of the initiator vis-à-vis other relevant parties in terms of power, trust, normal modes of interaction, and so forth.

3. Selecting a change strategy, based on the previous analysis, that specifies the speed of change, the amount of preplanning, and the degree of involvement of others; that selects specific tactics for use with various individuals and groups; and that is internally consistent.

4. Monitoring the implementation process. No matter how good a job one does of initially selecting a change strategy and tactics, something unexpected will eventually occur during implementation. Only by carefully monitoring the process can one identify the unexpected in a timely fashion and react to it intelligently.

Interpersonal skills, of course, are the key to using this analysis. But even the most outstanding interpersonal skills will not make up for a poor choice of strategy and tactics. And in a business world that continues to become more and more dynamic, the consequences of poor implementation choices will become increasingly severe.

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