
Snapshot into Factors Influencing Employees' Readiness for Change Before a Change is Initiated

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Abstract

While change resistance has come to be considered a normal occurrence, change initiators rarely assess its level or nature and create a general change management plan, instead of tailoring it to the presented context. Moreover, most of the existing change management literature and models have focused on the resistance to change only after the actual change has been initiated. Change agents rarely assess the change resistance that is already existent before initiating change, even though this, too, ultimately affects the outcomes of any change once it's initiated. Therefore, the purpose of this paper is to perform a literature review of the English-speaking landscape, in order to identify the sources of resistance before, and not only after, the change has been initiated. The results show that the already existing resistance to change stems from within the individual, as well as from the influence of the group or organization. The factors identified as stemming from the individual are personality, skills and experience, family and cultural background, and personal context outside of work. The factors identified as stemming from the group's or organization's influences are the individual's position or role within the group, relationships within the group, group perceptions and culture. Being aware of the existing level of resistance, as well as the influencing factors, will allow the change initiators to, firstly, address the existing resistance to change before any change endeavor, in order to make the organization overall more resilient to change, and, secondly, to use the change management methods that are appropriate for the context where the change is implemented. This will help organizations achieve better change outcomes.

Keywords

Change management, change readiness, resistance to change, individual change, organizational change

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Introduction

According to Beer and Noria (2000a), as well as to subsequent research, an estimate of 70% of change initiatives in organizations fail. This has become a widely accepted reference point for change management scholars and practitioners when addressing organizational change. However, Hughes (2011) argues that this number is an overestimation of the actual change failure rate. Irrespective of the reliability of the failure estimate of organizational changes, a vast body of literature has been dedicated to identifying the best ways to manage change in order for it to be deemed successful. The reason is that, change, whether incremental or organization-wide, spontaneous or planned, is a constant and a necessity in the life of organizations and serves as a mechanism of adaptation and growth.

As the vast literature, alongside numerous change management models created throughout the years, shows that the actual characteristics of the change, such as magnitude, scope, duration, etc., have a

significant impact over the way individuals react to change, meaning it will affect the level of resistance shown in the incipient phases, as well as throughout a change initiative (Armenakis, et. al., 2001).

This paper argues that the already existing attitude of the individual towards change (1) affects the resistance faced once a change endeavor is initiated, (2) can be addressed even before a planned change to make the organization more change resilient, and (3) should be taken into account when planning a change in order to better achieve the change outcomes. Therefore, this paper performs a literature review of the English-speaking landscape focused on the resistance to change that is already present before the actual change is initiated, which means that the characteristics of any particular change will not be taken into consideration.

The results show that at an individual level, the factors that might affect an individual's attitude towards change are represented by personal or professional, i.e. personality, skills and experience, family and cultural background, personal context outside of work. Furthermore, an individual's attitude towards change could also be influenced by the professional group they belong to and their context at work within that group. Under this category, following aspects could be included: the individual's position or role within the group, relationships within the group, group perceptions and culture.

In this paper, the literature review is presented to start with, followed by the explanation of the research methodology, the discussion of the results and, in the end, the conclusions are drawn and suggestions for further research are made.

Literature Review

Change resistance can be observed at individual, group, respectively organizational level and on each of these levels, there are a multitude of potential factors influencing an individual's attitude towards change (Rafferty, 2012). However, this paper will focus on the former, i.e. the individual level. The assumption is that there is a large variety of factors influencing a person's resistance to change, stemming from within an individual, as well as from being influenced by the group, respectively the organization the individual is part of. In the following, some of these potential factors will be identified. Some have been thoroughly addressed in the literature, while others have been addressed to a lesser degree, leaving room for further research to enrich the field of resistance, as well as change management overall.

At an individual level, the factors that might affect an individual's attitude towards change can be personal or professional. On a personal level, these could be, as shown in Figure no. 1, among others, their personality, skills and experience, family and cultural background, personal context outside of work.

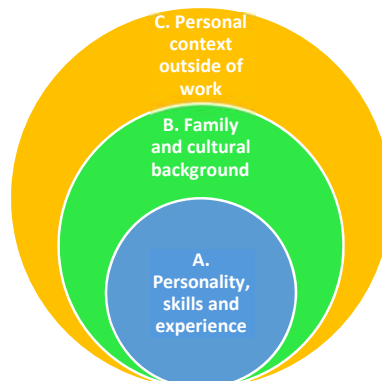


Figure no. 1. Factors defined at an individual level

Source: Author's own design based on literature.

Firstly, under the category personality, skills and experience, the following factors could be included: self- confidence, self-awareness and self-worth, overall perception of themselves, soft-skills, inclination

towards variety or challenge versus comfort or habit, tolerance for uncertainty, resilience towards change.

Secondly, pertaining to the family and cultural background category, the following factors could be encompassed: their education and upbringing, the culture they or their family belong to, the countries they have lived in, etc. Culture plays an important role in the way people think and behave, according to Hofstede (2011) and Meyer (2014).

Thirdly, concerning the personal context outside of work category, the following factors are worth mentioning: age and life stage, i.e. whether a person is a fresh graduate, a parent or close to senior age, life context, such as health, financial stability, mental, emotional and social context, relationships and support system, current events in their lives, such as moving, marriage divorce, etc., overall context in the respective location, such as politics, economic stability, or other occurrences, such as a world-wide pandemic.

The previously mentioned aspects have the potential to influence the attitude a person has towards change, however, they are almost not at all within the control of the change initiators or the organization. Nonetheless, some of them are constant, like the family and cultural background, others may or may not change with time, such as the skills and experiences, while other aspects are prone to change, like the life stages. Nevertheless, given that these aspects might affect the individual's change resistance/readiness, they might be worth taking into consideration.

An individual's attitude towards change could also be influenced by the professional group they belong to and their context at work within that group, i.e. by the individual's position or role within the group, relationships within the group, group perceptions and culture

Regarding the individual's position or role within the group, following aspects could be considered, among others: position with in hierarchy, career stage, tenure, perceived job satisfaction, perceived job security. The position can be formal, i.e. simplistically put whether the individual is a manager or employee, or informal, i.e. whether the person is perceived as a thought leader, change agent, informal authority or otherwise. A person at the beginning of their careers might have a different attitude towards change than more seasoned, respectively individuals closer to the end of their careers. Similarly, individuals working with a company for many years might perceive and react to change differently than individuals who just joined the group. The timing when an individual has obtained the current position, as well as their career advancement plans might impact their perception of change. A person eliciting a high job satisfaction and/or job security might have a different degree of change resistance than a person with low job satisfaction and/or job security. Lastly, the amount of work the individual currently has, i.e. whether the amount of work is perceived as on the higher or lower side could affect whether they are receptive to change.

Regarding the relationships within the group, aspects such as the level of perceived support from the group members and managers, the trust in the group members and managers, the relationships with the peers, the relationships with the manager, their leadership style could influence a person's attitude towards change.

The individual might take on the perception of the majority of the group when it comes to change. If the group is open to change, it is possible that the individual becomes more open to change themselves. Furthermore, just like in the case of personal culture, the culture of the group could have an impact the attitude of the individual within the group, as culture affects, among others, the way individuals communicate, decide, plan or lead. For example, it might be that in a culture where the "uncertainty avoidance" is high, that the change resistance is higher.

Lastly, an individual's attitude towards change could also be influenced by the overall organization they are a part of. Under this category, following aspects could be included: organizational culture, industry, organization's maturity

For the purpose of this paper, the focus will be on the existing change readiness within the individual, respective the influence of the group on the change readiness of the individual.

Change management has been defined by Hiatt (2003) as “the people side of change”. Irrespective of how effective the new processes, how proficient the new technology or how efficient the new organizational structure is, neither of the above will be implemented successfully and sustainably unless the individuals working with and within them are on board with the change.

One of the most addressed topics within this body of knowledge has been the resistance to change of the individual who is impacted by the change (Lewin, 1951). Change resistance has been defined as the behavior of the employees with an organization who are unwilling to accept and support the implementation of an organizational change (Coghlan, 1993). Waddel and Sohal (1998) point out that understanding the individual’s attitude towards change has proven to be a complex and multi-faceted process. This resistance affects the way people perceive change, as well as the outcomes of the change (Hiatt, 2006), both positively and negatively (Waddel and Sohal, 1998).

Some literature deems resistance as the main factor contributing to change failures (Beer and Noria, 2000a) and as negative and counter-productive behaviors from the part of the employees (Waddel and Sohal, 1998). Erwin (2010) calls this the “bankruptcy models”. Alongside Erwin, newer literature suggests that resistance is not a negative trait, but rather a given occurrence that should be taken into consideration in the context of any change initiative within an organization (Golan, 1981). Echoing the same thought, other scholars, like Waddell and Sohal (1998), argue that resistance shouldn’t be pictured as a negative force, causing delays and costs to the change initiatives, but it rather has its own utility, leading to more diligence and better planning from the change initiators. They suggest utilizing the resistance, rather than overcoming it. Kuster, et al. (2015) mention that, without resistance, as a force to tame uncontrolled growth, there would be chaos, reinforcing that resistance does not have the negative impact that early scholars have attributed to it. Lastly, some authors consider that blaming the change resistance of the individual for unsuccessful change initiatives is a way to mask managers’ inability to manage change effectively, both in their approach towards the employees and other aspect of the change, such as towards the process, technology and/or organizational structure related aspects (Erwin, 2010).

However, in order to harness the utility and alleviate the negative effects of resistance, as well as to avoid blaming solely individuals’ change resistance for change failures, the change initiators need to understand the level and nature of the resistance.

A wide variety of change management models have been created throughout the years: Lewin’s Change Model, Kotter’s 8 Steps for Leading Organizational Change, Hiatt’s ADKAR Model, Satir’s Change Model, William Bridges’ Model, McKinsey Seven S Framework, to name a few. A commonality between these models is that they focus on addressing resistance after the change is initiated. Bejinariu, et al. (2017) agree that the highest degree of resistance is to be expected in the incipient stages of a change initiative. What stands out, however, is that there is little body of knowledge that offers approaches for reducing the already existent resistance within the individual, group or organization before an actual change is initiated.

This paper suggests that it might be that knowing the existing resistance/ readiness to change prior to change could result in a better and more suitable approach when initiating the change, thus leading to better change outcomes. As Dent and Goldberg (1999) mention, instead of waiting for resistance to occur, resistance should be prevented, by having measures in place. Watson (1969) suggests that, in order to help a person to be more open to change, it is essential to identify and address their source of resistance. Satir as quoted by Woods and Martin (1984), assures that everyone is healable, meaning that any individual can become open to change, respectively change, when the right sources of resistance are identified and addressed.

Scholars of change management suggest a variety of factors that can potentially affect the change resistance/readiness, which will be reviewed in the following section. Most do not differentiate between the three different already mentioned levels: individual, group, respectively organization, however, there is overlap in the identified factors at all levels.

Armenakis, et al. (2001) define change readiness as readiness of an individual to accept, embrace and adopt change. Kreitner (1992), as cited by Dent and Goldberg (1999), acknowledges that resistance can be both rational and irrational. Coghlan (1993) recognizes that change has both a cognitive and

emotional or affective element. Rafferty et al. (2012) divide the responses into cognitive, respectively affective.

Among the possible factors influencing change resistance/readiness at individual level, we identified: personality, skills and experience, family and cultural background and personal context outside of work.

Golan (1981) explains that the resistance is meant to protect the status-quo, which is perceived as known and safe, while change is perceived as unknown and potentially unsafe. Additionally, Golan states that resistance is associated to “feelings of loss and longing for the past”. Erwin (2010) suggests that people do not resist the idea of change, but rather the loss of status, or loss of comfort. In addition to this, failure to mourn the loss and acknowledge the longing may cause continuing to live in the past and resisting change (Bridges, 1980).

Oreg (2003) notices that some people resist change even if it is in their own interest and believes that this could be attributed to personality traits. Woods and Martin (1984) analyze Virginia Satir’s model of change management developed in 1981, which has its roots in psychology. The authors cite Satir’s suggestion that “communication, self-worth and centeredness” influence how a person reacts to change. According to Satir, a person’s self-worth will affect their responses to stress, resilience, flexibility and adaptability, as well as the abilities to deal with uncertainty. Related to this, the less hope and the higher the fear, the more resistance the individual will exert. Similarly, Dubrin and Ireland (1993) identify fear as a “common denominator” of the resistance to change.

A series of studies identified sources of resistance at both individual and group level. Watson (1969), identifies nine sources of resistance in the personality: homeostasis, habit, primacy, selective perception and retention, insecurity and regression, illusion of impotence: Feeling helpless or perceiving oneself as a victim, superego, self-distrust, dependence: The influence of socialization on the opinion and response of an individual towards an occurrence.

The first eight sources emerge at the level of the individual while the last one refers to the individual as part of a group. The second source echoes Rummelt’s (1995) idea that habits and routines affect change readiness. Rummelt also adds lack of proper analysis, a large number of changes and expectations of obstacles and efforts, as aspects influencing an individual’s change readiness. In their empirical analysis on a sample of 86 top and middle managers, Pardo del Val and Fuentes (2003) deem deep-rooted values, strong beliefs and low motivation due to past failures as the most significant aspects influencing change readiness.

Crites et al. (1994) indicates that discrete, quantitatively different emotions like love, hate, delight, sadness, happiness, annoyance, calmness, excitement, boredom, relaxation, anger, acceptance, disgust, joy, and sorrow might affect an individual’s resistance to change. These could generate from the individual’s personal life, as well as professional life. They can be present before the actual change, as well as be generated by an initiated change.

Dent and Goldberg (1999) analyze five studies: Kreitner, 1992, Griffin, 1993, Aldag and Stearns, 1991, Schermerhorn, 1989 and Dubrin and Ireland, 1993, regarding the causes of resistance identified in each. The causes of resistance identified by three or more studies at individual level were: emotional side effects. The causes of resistance influenced by the group or the environment the individual is a part of, as defined by this paper, were: misunderstanding of the change (lack of, insufficient or incorrect communication), uncertainty, lack of trust, personality conflicts, work group break-up and threat to job status and job security. The latter was identified by all five studies as being a cause of resistance. All of these apply once a change is initiated, however, some of them exist even prior to it, i.e. the lack of trust, personality conflicts and job status and job security, all of them being influenced by the group the individual is a part of.

Rafferty, et al. (2013) mention positive job attitudes, including job satisfaction and organizational commitment as key outcomes that influence change readiness.

Dent and Goldberg (1999) analyzed the change resistance in different models of change management and revealed that both Lewin and Kotter identified that the resistance can be in system. For Lewin,

resistance to change is a system's phenomenon, not a psychological one, unlike some of the previously mentioned authors.

Coghlan (1993) suggests that being part of an environment leads to the adaptation of existing behaviors, attitudes, values and ways of coping. Rogers (1990) identifies three conditions favorable to change, both at individual and group level. Even if the author brings the change agent in discussion, it is possible that the concepts apply also intra-personally, as well as in the relationship with their manager:

1. **Genuineness, realness or congruence:** The change initiator or the change agent understands and owns their own perception and attitude towards the change, while being authentic when dealing with the person upon which the change will be inflicted. This could potentially be applied for each individual and affect the change readiness in a positive way.
2. **Acceptance, airing or prizing:** An open, non-judgmental, accepting environment, where an individual feels safe to express their opinions, reveal their short-comings and ask for help, without fearing losing the other's positive regard of them.
3. **Empathic understanding:** The individual feels genuinely understood by change initiator or change agent, without forced interference. If this is extrapolated for each individual, it might have a positive effect on change readiness within a group.

Pardo de Val and Fuentes (2003) identify in their literature review political and cultural aspects that can influence change readiness: the implementation climate, department politics and team dynamics or emotional loyalties. Even though the authors refer to these aspects once a change is initiated, it can be argued that these aspects also existed previous to the change and affect change readiness irrespective of the nature of a change. However, their empirical analysis only deemed department politics, as well as leadership inaction and collective action problems as significant.

Rafferty, et al. (2013) emphasize the influence that the group has on the individual, mentioning that individuals in a group develop "shared responses" by comparing themselves to other members of the group to assess their own reactions and ultimately converging towards the consensual view. The more time and interaction the individual has with the group, the more they will converge towards the shared responses.

Lastly, the individual's resistance to change can be influenced by the group perception and culture. Hofstede (2011) identifies six dimensions to describe culture: power distance, uncertainty avoidance, individualism vs. collectivism, masculinity vs. femininity, long vs. short term orientation, and indulgence vs. restraint. Meyer (2014) identified 8 scales that define a culture: communicating (low vs. high context), evaluating (indirect vs. indirect negative feedback), persuading (principles first vs. applications first), leading (egalitarian vs. hierarchical), deciding (consensual vs. top-down), trusting (task-based vs. relationship-based), disagreeing (confrontational vs. avoiding confrontation), scheduling (linear vs. flexible time). These aspects affect how individuals, think and behave outside of work, and potentially, also in their professional lives. Meyer suggests that what actually matters, are not the numbers in each scale, but to what degree the culture of the individual is different from the culture of the group, respectively organization.

Research methodology

The literature review intends to provide insights into the sources of the individual's resistance to change identified by change management scholars, while suggesting new potential sources of resistance in the individual and ways these can be used for further research.

For the purpose of this paper, qualitative research methodology has been employed in the form of literature review through which multiple articles have been reviewed and critically analyzed. The discussions presented in this paper have their foundations in a thorough study of the academic literature that deals with change. The pool of data used for research has been gathered through extensive searches over the Internet of web pages and articles published in the English language containing the following keywords: change management, change readiness, change resistance, individual change. Thus, the findings of the article present a picture of the English-speaking landscape in which the concepts have

originated and where they have attracted the most attention. The information gathered from these various sources is pieced together to trace the resistance to change of the individual and the aspects impacting it. Most papers assess this aspect mostly only after a change has been initiated, not before, however, some of the identified aspects can be extrapolated for the existing resistance to change, even before a change is initiated. The aspects have been categorized into stemming from the individual, or stemming from the influence the group or organization have over the individual. In the end, conclusions have been drawn on which model best addresses change in the incipient phases of a change initiative and suggestion have been made for further research.

Results and discussion

The individual's resistance to change is affected by factors existing prior to the change initiation, as well as by characteristics of the initiated change. The factors affecting an individual's resistance before a change is initiated are intrinsically to the individual, as well as influenced by environment: group, respectively organization. The literature review confirmed the assumptions regarding the categories of the factors that influence an individual's change resistance.

Table no. 1 represents a summary of the literature review regarding these factors. The factors within the individual affecting their change resistance can be divided into the following categories: personality, skills and experience, family and cultural background, respectively personal context outside of work. Even though most cannot be influenced by the organization, they influence the resistance, so it might be useful to take them into consideration. The factors pertaining to the group that affect the individual's change resistance can be divided into the following categories: the individual's position or role within the group, the relationships within the group, respectively the group perceptions and culture. These factors are more likely to be addressed and modified by the change initiators to increase the chances for successful change implementation.

Some of these factors are static, like family background, some are dynamic, like life stage or tenure and some can be either static or dynamic, such as skills. This is why, the level of change resistance is not constant and, if the change initiator strives for the accurate level at a given time, they must assess it at that particular time. Furthermore, the more time elapses from the assessment, the more inaccurate will it become.

Conclusion

Being aware of the attitude towards change of the individuals within their teams prior to any change initiative will help managers take the appropriate measures in order to increase their team's change resilience. It will help change initiators tailor their approach into reducing resistance to the level of granularity of the individual, in such a way that it addresses the issues at hand, instead of general ones. It would also reduce the amount of weight that resistance is given in the eventuality of failure of an initiative.

An assessment of the resistance to change existent prior to any initiative being taken, would help change initiators draw conclusion on how to act, e.g. reduce amount of work to make room for people to adjust to the change, take measures to create a more communicative culture, improve recruiting process to bring in individuals more open to change, increase people's skills, decide to delay the change, etc.

A questionnaire or assessment method of the existing resistance to change would allow change initiators draw more detailed conclusions on the levels and nature of the resistance to change of the individuals.

Lastly, it is important to mention that people, more than anything else, are unpredictable. This is what makes change and resistance management challenging. However, accepting that not everything can be accounted for, allowing for continuous adjustment of the measures employed and further expanding the knowledge in this field are the best ways to go about resistance and change initiatives overall.

Table no. 1. Summary of literature on change resistance in individual's

| | | |
|---------------------|---|---|
| Individual | 1. Personality, skills and experience | <ul style="list-style-type: none"> • Protect status-quo (Golan 1981) • Feelings of loss and longing for past (Golan 1981) • Beliefs, attitudes, and intentions (Armenakis 1999) • Deep-rooted values, strong beliefs and low motivation (Pardo del Val and Fuentes 2003) • Self-worth and centeredness (Satir 1984) • Stress, resilience, flexibility and adaptability (Satir) • Ability to deal with uncertainty (Satir) • Fear (Dubrin and Ireland 1993) • Routines and habits (Rumelt 1995) • Homeostasis, habit, primacy, selective perception and retention, insecurity and regression, illusion of impotence, superego, self-distrust (Watson 1969) |
| | 2. Family and cultural background | <ul style="list-style-type: none"> • Power distance, uncertainty avoidance, individualism vs. collectivism, masculinity vs. femininity, long vs. short term orientation, and indulgence vs. restraint (Hofstede 2011) • Communicating (low vs. high context), evaluating (indirect vs. indirect negative feedback), persuading (principles first vs. applications first), leading (egalitarian vs. hierarchical), deciding (consensual vs. top-down), trusting (task-based vs. relationship-based), disagreeing (confrontational vs. avoiding confrontation), scheduling (linear vs. flexible time) (Meyer 2014) |
| | 3. Personal context outside of work | <ul style="list-style-type: none"> • Feelings of love, hate, delight, sadness, happiness, annoyance, calmness, excitement, boredom, relaxation, anger, acceptance, disgust, joy, and sorrow" (Crites 1994) |
| Group on individual | 1. The individual's position or role within the group | <ul style="list-style-type: none"> • Positive job attitudes: job satisfaction and organizational commitment Rafferty (2013) • Fear of loss of status (Erwin 2010) |
| | 2. Relationships within the group | <ul style="list-style-type: none"> • Lack of trust, personality conflicts and job status/ security (Dent and Goldberg 1999) • Team dynamics or emotional loyalties (Pardo de Val and Fuentes 2003) • Relationship to the change agent or manager (Kirschbaum and Henderson 1990): <ul style="list-style-type: none"> - Genuineness, realness or congruence - Acceptance, airing or prizing - Empathic understanding • Developing "shared responses" by comparing oneself with other (Rafferty 2013) |
| | 3. Group perceptions and culture | <ul style="list-style-type: none"> • Modification of existing behaviors, attitudes, thought processes, values and habitual modes based on group's ones (Coghlan 1993) • Implementation climate and department politics (Pardo de Val and Fuentes 2003) • See above Hofstede 2011 • See above Meyer 2018 |

Source: Author's own research.

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