POWER 权力与影响

AND INFLUENCE

Beyond Formal Authority

JOHN P. KOTTER

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POWER AND INFLUENCE

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PREFACE

   This is a book about the causes and the consequences of the
increasingly complex social milieu one finds in and around business
corporations, law firms, governmental agencies, and other types
of organizations which, collectively, employ nearly all of us nowa-
days. It has been written to draw additional attention to some issues
that I think are terribly important and to provide assistance to
the many people who are trying to foster excellence, innovation,
and responsiveness in their organizations, despite the many forces
that promote bureaucracy, parochial politics, and destructive power
struggles.
   The book's material is presented in four parts. The first, Chapters
1 through 3, lays out the basic argument: that a number of very
fundamental economic and social trends have had the cumulative
effect over the past few decades of significantly increasing the com-
plexity of the social milieu associated with most managerial, techni-
cal, and professional jobs; that this complexity takes the form of
complicated interdependent relationships among diverse groups of
people; that this increase in diversity and interdependence has con-

verted many individual contributor and management jobs into jobs that demand strong leadership—that is, jobs that require jobholders to get things done through others but do not provide control (in the form of formal authority, budgets, etc.) over all those others; that strong leadership, in this case, means the capacity to develop sufficient sources of power to make up for the power gap inherent in those jobs and the willingness to use that power responsibly to lead the relevant set of subordinates, bosses, peers, and outsiders toward the accomplishment of meaningful goals; and that when such leadership is lacking, as is all too often the case today, the milieu tends to produce conflicts which degenerate into parochial politics, bureaucratic infighting, and destructive power struggles.

In Parts II and III, this leadership challenge is explored more deeply in terms of both high-level executive positions, and lower-level professional and technical jobs. Chapters 4 through 6 describe the day-to-day issues one finds associated with each of the three basic kinds of organizational relationships—those with subordinates, those with superiors, and those with others outside one's chain of command—along with a discussion of what is required to deal with those issues in an effective and responsible manner. Chapters 5 through 7 describe the leadership challenges one often encounters at various stages in a career inside a typical complex organization.

Finally, in Part IV, summary recommendations are offered regarding how one can improve one's personal effectiveness at work, and regarding what needs to be done by our basic institutions if we are to increase significantly over time our supply of people who are capable of handling difficult leadership jobs.

This book has grown out of seven different projects conducted between 1971 and 1983, and supported by the Division of Research at Harvard Business School. A brief description of the projects and the people associated with them can be found in the acknowledgments. Because the results of these projects have been reported in some of my previous books and articles, this book of necessity draws heavily from these sources. Like virtually all of my professional work to date, it is about complex organizations, and it focuses on the behavior of key actors in those organizations. But it is different from earlier work in a few very important ways. It is not a textbook, and although it is based on a considerable amount of research, it is not in any sense a research monograph. Instead, it has been

written with the objective of being both as accessible and as helpful as possible to a nonscholarly audience. For that audience, it paints a picture, based on a decade of field research, of some of the central problems and issues created by modern organizations, and of what is required to deal with those issues in organizationally effective, socially responsible, and personally nondestructive ways.

I cannot claim that the book is entirely successful in always walking the narrow line between naïveté and cynicism that it advocates so strongly. Because I do not understand all the nuances of the subjects treated here, I am sure the text occasionally makes either a naïve or a cynical diversion. But for the most part, I think it is on target. I hope, perhaps naïvely, that it can make a small but real difference in some people's lives.

Beyond the yellow brick road of naïveté and the muggers lane of cynicism, there is a narrow path, poorly lit, hard to find, and even harder to stay on once found. People who have the skill and the perseverance to take that path serve us in countless ways. We need more of these people. Many more.

约翰·科特
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THE CHANGING NATURE OF MANAGERIAL AND PROFESSIONAL WORK

CHAPTER 1

INTRODUCTION

The basic premise of this book can be stated quite simply: Important changes that are shaping the nature of work in today's complex organizations demand that we become more sophisticated with respect to issues of leadership, power, and influence. With that increased sophistication, we can make our corporations more competitive. We can make rigid bureaucracies more flexible, innovative, and adaptive. We can even make the world of work more exciting and personally satisfying for most people. Without the needed awareness and skill, we risk being overwhelmed by the pathological aspects of modern organizations—the bureaucratic infighting, parochial politics, destructive power struggles, and the like which regularly reduce initiative, innovation, morale, and excellence in all kinds of organizations.

In the pages that follow, I will identify how the nature of professional and managerial work is changing, why it is changing, why leadership and power issues are becoming increasingly important, and what is required to deal with all

this in effective and responsible ways. Most of the examples
come from corporate settings. They are applicable, however,
in governmental agencies, law firms, hospitals—almost every-
where. These examples, along with the interpretations offered,
do not provide simple cookbook solutions. But they do offer
a way of thinking about subtle yet important issues of rele-
vance to those who work in (or are being trained for) today's
complex professional, technical, and managerial jobs. People
like Andrea, Fred, and John.

I

Andrea is a 28-year-old copywriter for one of the advertis-
ing agencies in New York. She is extremely good at her craft;
during the seven years she has been in the advertising busi-
ness, accounts she has worked for have won six major awards
for excellence. Most of the time she loves her work, although
it has become increasingly frustrating as she has assumed more
responsibility. Most of the time she hates her employer.

It seems hard for Andrea to talk about her work for more
than a few minutes without making at least one jab at her
firm. She rails against the "idiotic bureaucracy" which limits
her capacity to do good work, and she tells amusing stories
about two account executives for whom she has rather colorful
names. She rarely says anything about her salary, but it is
clear she is angry about the size of her raises during the last
two years. She harbors a suspicion that one of the "incompe-
tents" in the managerial hierarchy is getting even with her
for being outspoken about problems in the firm. The wide-
eyed young woman who moved from Ann Arbor to New York
seven years ago has traded in her midwestern naïveté for
big city cynicism.

Down deep Andrea is worried about her future in the firm.
She has considered switching agencies, but her friends tell
her it's the same everywhere. When she thinks about conform-
ing and playing "the political game," it makes her want to
throw up. She is not sure what other alternatives exist. And
that does not make her feel very good. She wishes people
would simply leave her alone so she could do the job she

loves—an individual contributor's job. Unfortunately, because of the increasing responsibility she has been given over the past few years, she no longer is in such a job.

This book has been written, in part, for the Andreas of the world.

Fred is an up-and-coming young manager in a well-known *Fortune* 500 company. He is thirty-four years old, has an MBA degree, and has been working for his employer for three years. He enjoys his work immensely and has very ambitious plans for the future.

After graduate school, Fred worked for a management consulting firm for five years. Reflecting on those days, Fred says he never had any difficulty with what he calls "the analytics." The real challenges all had to do with people and relationships: learning how to work effectively on a project team; how to interface with clients; how to develop a good reputation with the partners who controlled work assignments; and, eventually, how to manage a project team himself. The problems encountered in these areas were more difficult and complex than he had anticipated. In retrospect, he thinks he was very naïve when he left school.

For the most part, Fred successfully met all the challenges he faced at the consulting firm and was well thought of when he decided to accept an offer of employment from one of his clients. The new job, director of marketing in a manufacturing division with $100 million a year in revenues, was too good to turn down.

Since switching employers, Fred has continued to succeed, but not without great effort on his part. When he arrived at the firm, he encountered considerable hostility directed at the "hotshot MBA consultant." He found that a number of the forty individuals who were a part of his marketing group were not doing an adequate job; but unlike at the consulting firm, he couldn't simply stop using them and substitute other more appropriate staff. In the new job, he has, for the first time, had to deal with an engineering department, two manufacturing plants, and a sales force, departments that often behaved like independent fiefdoms. And also unlike at the

consulting firm, his boss and his boss's boss have backgrounds that are very different from his own. These differences often seem to lead them to draw conclusions quite different from his. Convincing them of his point of view has been difficult and frustrating at times.

Fred appreciates that dealing with complex interdependent relationships—with bosses, subordinates, peers, and outsiders—is at the heart of what his managerial job is all about. And he knows he has learned a great deal in this regard since leaving graduate school. But as his fast-track career continuously pushes new and bigger challenges at him, he sometimes gets exhausted trying to keep up with all he needs to know. And he often wishes that he were given more control, more managerial discretion, over the many activities and people for which he is held accountable.

This book has also been written for the Freds of this world.

John is an executive vice president in a West Coast bank. He is forty-four years old, and has been in banking for most of his career. John is proud of his professional accomplishments to date, and wants very much to use his position of responsibility in a meaningful way.

Banking, like many industries today, is going through some interesting changes. John finds these changes both exciting and a little threatening. He has carefully studied the technological trends, changing governmental regulation, and shifting competitive environment; and he thinks he knows what his bank needs to do over the next five years. But he is worried that these things will not be done.

To get from A (where the bank is now) to B (where it needs to be in five years), his firm has to overcome formidable obstacles. First of all, some powerful individuals, departments, and customers must be convinced that there really is a need for the bank to move toward B. Like all change, such movement will require effort, money, and some inconvenience. These people are not yet convinced that they should pay that price. Second, covert opposition from one of the bank's departments that will lose status in a move to B must be overcome. John knows that will not be easy. Third, the chances of one

of the three contenders to succeed the current chief executive officer at the bank will probably go down if the bank makes the kinds of changes John is convinced are necessary. Yet that person's cooperation, or at least compliance, is absolutely necessary.

John is sophisticated enough to foresee all these problems, to recognize the potential for a major power struggle at the bank, and to realize that the bank desperately needs strong leadership at this point in its history. He is less sure, however, how he can best influence events in a positive way.

This book is also written for people like John.

II

The fundamental purpose of this book is to help people like Andrea, Fred, and John to be more effective in their jobs, and more successful in their careers—and then, through them, to help make their organizations more competitive, responsive, and responsible. The focus of this effort is on a wide variety of leadership, power, and influence issues—issues that have been gaining increasing importance in the past few decades. Such issues include:

- How to implement important strategic or adaptive change, despite the need for many people's cooperation in the effort, and despite the fact that some of those people are strongly inclined to resist cooperating.
- How to foster entrepreneurial and creative behavior inside a firm, despite dozens of bureaucratic obstacles that are difficult or impossible to remove.
- How to gain the resources, support, and fair treatment from bosses (even less than completely competent bosses) that one needs to perform a difficult job without succumbing to cheap (and organizationally harmful) political games.
- How to avoid developing destructive adversarial relationships with people whose help and cooperation you absolutely need, but who are outside your chain of command (and your direct control) and who tend to be suspicious of you.