

CHAPTER 14

CURRENT THEORIES OF CHANGE MANAGEMENT

BACKGROUND

- ▶ The nursing professional development (NPD) practitioner serves as a change facilitator by analyzing the need for change; incorporating changes into educational activities; and using collaboration, facilitation, and problem-solving skills to support the change process. The NPD practitioner “exhibits creativity and flexibility through times of change” (Harper & Maloney, 2016, p. 48).
- ▶ Change is the process of altering or replacing existing knowledge, skills, attitudes, systems, policies, or procedures.
- ▶ Though change is a dynamic process that necessitates alterations in behavior and usually causes some conflict and resistance, it also can stimulate positive behaviors and attitudes and improve organizational outcomes and employee performance.
- ▶ Change can be the result of identified problems in existing knowledge, skills, and systems, or of the need to change established ways of conducting business because of alterations in knowledge, technology, management, or leadership.
- ▶ Problems are identified from many sources, including risk management data, quality improvement data, employee performance evaluations, and accreditation survey results.
- ▶ The Institute of Medicine (IOM) *Crossing the Quality Chasm* report in 2001 called for major healthcare reform and the *Future of Nursing* report in 2011 called for the expansion of nursing practice and the increase of baccalaureate-prepared registered nurses (RNs).
- ▶ Change may be necessary due to changes in organizational structure or goals; accreditation criteria; economic drivers; or advances in diagnosis, treatment, and patient outcomes.
- ▶ Change at any level requires different behavior from the people involved.
- ▶ Skills needed to effect change include leadership, management, political savvy, analytical, interpersonal, system, business, and communication skills (Nickols, 2007; O’Shea, 2002).
- ▶ Systems change demands a “drastic shift in locus of control, accountability, expectations, performance, and measurement” (Malloch & Porter-O’Grady, 2006).
- ▶ The outcomes of change must be consistent with organizational mission, vision, and values.

- ▶ Because change is a constant in the healthcare environment, it is important to remember key points:
 - ▶ Employees will react differently to change, no matter how important or advantageous the change is purported to be.
 - ▶ Basic needs will influence reaction to change, such as the need to be part of the change process, the need to be able to express oneself openly and honestly, and the need to feel that one has some control over the impact of change.
 - ▶ Change often results in loss (e.g., downsizing, changes in established routines) and employees may react with shock, anger, and resistance, and, hopefully, ultimate acceptance.
 - ▶ Change must be managed realistically, without false hopes and expectations, yet with enthusiasm for the future.
 - ▶ It is important that management deal with the fears and concerns triggered by change in an honest manner (Monaghan, 2009; Team Technology, 2014).

CHANGE THEORIES

- ▶ Below are samples of both classic and current change theories. This list is not meant to be all-inclusive.
- ▶ Lewin's Change Theory
 - ▶ A three-step model based on the premise that behavior is a dynamic balance of forces working in opposition. Driving forces facilitate change by pushing employees in a desired direction, and inhibiting forces hamper change because they push employees in the opposite direction.
 1. Step 1 is the process of altering behavior to "unfreeze," or agitate the status quo (equilibrium state). Step 1 is necessary if resistance is to be overcome and conformity achieved.
 2. Step 2, "change," involves movement of the employees to a new level of equilibrium. It helps employees to view change from a new perspective, to work together to achieve desired outcomes of change, and to facilitate consistency among management and employees.
 3. Step 3 is "refreezing," or attaining equilibrium with the newly desired behaviors. Step 3 occurs after change is implemented so that new behaviors and desired outcomes can be integrated into the organization (Lewin, 1951).
- ▶ Lippitt's Seven-Step Change Theory
 - ▶ Expands Lewin's theory to place additional emphasis on the role of the change agent
 1. *Step 1:* Diagnose the problem by examining all possible consequences, determining who will be affected by the change, identifying essential management personnel who will be responsible for fixing the problem, collecting data from those who will be affected by the change, and ensuring that those affected by the change will be committed to its success.
 2. *Step 2:* Evaluate motivation and capability for change by identifying financial and human resources capacity and organizational structure.
 3. *Step 3:* Assess the change agent's motivation and resources, experience, stamina, and dedication.
 4. *Step 4:* Select progressive change objectives by defining the change process and developing action plans and accompanying strategies.
 5. *Step 5:* Explain the role of the change agent to all involved employees (e.g., expert, facilitator, consultant) and ensure that expectations are clear.

6. *Step 6*: Maintain change by facilitating feedback, enhancing communication, and coordinating the effects of change.
 7. *Step 7*: Gradually terminate the helping relationship of the change agent (Lippitt, Watson, & Wesley, 1958).
- ▶ Roger's Five-Stage Change Theory
 1. *Stage 1*: Impart knowledge in terms of the reason for the change, how it will occur, and who will be involved.
 2. *Stage 2*: Persuade employees to accept change by relaying essential information and note that attitudes, both favorable and unfavorable, are formed.
 3. *Stage 3*: Decide whether to ultimately adopt the change by analyzing data and implementing a pilot study or trial of the new processes triggered by the change.
 4. *Stage 4*: Implement the change on a more permanent or established basis as the organization evolves to accommodate the change.
 5. *Stage 5*: Confirm adoption of the change by the employees responsible for and affected by the change (Rogers & Shoemaker, 1971).
 - ▶ Transitions Theory
 - ▷ "Model for analyzing the human behavioral response to predictable and unpredictable change" (Meleis, 2010, p. 754, as cited in Berry, 2013)
 - ▷ Characteristics include process with beginning and end, disconnectedness, perception, and patterns of response
 - ▷ Categories of transitions
 - ▶ Developmental
 - ▶ Situational
 - ▶ Health-illness
 - ▶ Organizational
 - ▷ Spradley Model Eight-step model based on Lewin's Theory:
 1. Recognize the symptoms
 2. Diagnose the problem
 3. Analyze the alternative solutions
 4. Select the change
 5. Plan the change
 6. Implement the change
 7. Evaluate the change
 8. Stabilize the change
 - ▶ Planned change must be constantly monitored (Swansburg & Swansburg, 2002).
 - Crisis Management: method used to adapt to change
 1. Modeled by four characteristics: Reduce tensions
 2. Demonstrate organizational commitment and expertise
 3. Control the flow and accuracy of information
 4. Manage resources effectively
 - ▷ Organizations with crisis management plans are better able to attend to the needs of those affected (Rundio, Wilson, & Meloy, 2016).
 - ▶ William Bridges' Theory Into Transition
 - ▷ Change of any sort, justified or not, succeeds or fails on the basis of whether people affected do things differently (Bridges, 2009). Three phases of physiological readjustment and reorientation to change:
 1. Transitions start with an ending: signal that things are changing
 2. The neutral zone: place between end and beginning, old ways are finished and new ways not yet embedded
 3. The beginning: adaptation has occurred, new direction (McClean, 2011)

- ▶ Skills to support adaptation to change
 - ▶ Identify who is losing what
 - ▶ Accept the reality and importance of the subjective loss
 - ▶ Do not be surprised at overreaction
 - ▶ Acknowledge the losses openly and sympathetically
 - ▶ Expect and accept signs of grieving
 - ▶ Compensate for the losses
 - ▶ Give people information over and over
 - ▶ Define what is over and what isn't
 - ▶ Mark the ending
 - ▶ Treat the past with respect
- ▶ Let people take a piece of the old way with them (Bridges, 2009). Adaptation to Change (Niessen, Swarowsky, & Leiz, 2010)
 - ▶ In order to be effective when work requirements change, individuals have to adapt to the direct consequences of change
 - ▶ Adaptation to changes in the workplace goes beyond merely learning new knowledge and skills
 - ▶ Requires the unlearning of old work procedures, the accomplishment of tasks and duties in light of the change
 - ▶ Adaptation is indicated by fit, satisfaction, satisfactory performance, and tenure
- ▶ Appreciative Inquiry
 - ▶ Appreciative inquiry (AI) takes an opposite approach. Rather than define a problem, AI looks at what works in an organization. Positive questions are asked to see potentials and possibilities to move toward.
 - ▶ The AI cycle has four stages:
 1. Discovery: Asking relevant stakeholders what is already positive in current practice: what is.
 2. Dream: Through the use of imagination, create a clear vision for the future: what might be.
 3. Design: Based on positive past achievements, identify the positive actions needed to reach the "dream": how to get there.
 4. Destiny: Creating a climate for positive sustainable change: positive empowerment.
 - ▶ Central to AI's theory are five underlying principles:
 1. Constructionist Principle: People create their reality by how they view the world (organization)
 2. Poetic Principle: Organizations, like poems, are open to infinite interpretation
 3. Simultaneity Principle: Change occurs as we talk about it
 4. Anticipatory Principle: Change is what we view as our future
 5. Positive Principle: Positive questions lead to positive images, which lead to positive energy and relationships (Cooperrider & Whitney, 2001)

MANAGEMENT OF CHANGE: BASIC CONCEPTS

- ▶ Change management is the process of making changes in a deliberate, planned, and systematic manner.
- ▶ Change management uses theories, models, methods and techniques, tools, and skills.
- ▶ Knowledge of change management is drawn from numerous disciplines (e.g., psychology, business management, economics, engineering, organizational behavior).

- ▶ The goal of change management is to implement change efficiently for the benefit of the organization.
- ▶ Change has both content and process dimensions. Addressing underlying processes and effective communication of the change expectations leads to a successful change initiative.

At the core of effective change are clearly defined outcomes of the proposed change, identified actions to attain the outcomes, and implementation of those actions (Monaghan, 2009; Nickols, 2007).

Creating a Climate for Effective Change

- ▶ Recognize that change is never easy and will be met with enthusiasm by some and resistance by others.
- ▶ Identify those who will be enthusiastic about the change (early adopters) and those who will be resisters (laggers); involve them to build momentum and identify barriers, respectively.
- ▶ Collect and analyze data so that the need for change (and its consequences) can be clearly articulated.
- ▶ Give employees information honestly and allow them to ask questions and express concerns.
- ▶ Articulate the reasons for change, how it will affect employees, how it will benefit the organization, and the desired outcomes of the change process.
- ▶ Ensure leadership commitment so that leaders, in turn, can provide consistent information to staff members (Jones, Aquirre, & Calderone, 2004; Monaghan, 2009; Nickols, 2007).

Resistance to Change

- ▶ Anticipate barriers to change, including components of organizational structure, and take action to remove them. Diffuse power groups and processes to prevent large barriers from systems and stakeholders (Porter-O'Grady & Malloch, 2003).
- ▶ Employees are resistant to change for a variety of reasons:
 - ▶ Fear of losing one's job, having to acquire new skills, and losing the ability to work effectively in a changed environment
 - ▶ Fear of losing one's unofficial power or influence
 - ▶ Failure to understand the reasons for change
 - ▶ Failure to understand how the change will benefit the workplace
 - ▶ Failure of management to involve affected employees in the change process
 - ▶ Failure of management to communicate effectively (e.g., not providing the reason for or full breadth of the change, limiting information to a few persons, limiting methods used for communication)
 - ▶ Failure of management to relay facts about the change process honestly and realistically (Monaghan, 2009; Nickols, 2007)

Change resisters must be identified, worked with, challenged, and placed in the midst of the change process so as not to impede the change (Porter-O'Grady & Malloch, 2003).

The Process of Managing Change

- ▶ Assessment phase
 - ▶ Identify problem or opportunity for change
 - ▶ Collect and analyze data

- ▶ Recognize driving and restraining forces
- ▶ Identify potential for resistance
- ▶ Planning (unfreezing) phase
 - ▶ Know the target system for the change
 - ▶ Assemble a team
 - ▶ Create a process and operational indicators
 - ▶ Establish a timeline for feedback and evaluation of progress
- ▶ Implementation phase
 - ▶ Initiate plans
 - ▶ Create a supportive environment
 - ▶ Provide information
 - ▶ Provide training
 - ▶ Select key stakeholders to support the change
 - ▶ Value participants' input
 - ▶ Ensure team has appropriate authority to act
- ▶ Recognize and address conflicts
 - ▶ Reward desired behaviors
- ▶ Evaluation (refreezing) phase
 - ▶ Monitor operational indicators
 - ▶ Evaluate effectiveness
 - ▶ Stabilize the change (Mick, 2011, as cited in Berry, 2013; Sullivan & Decker, 2009)

TEAMS AND CHANGE

- ▶ Effective teams adapt to the requirements of various tasks, the interdependence of team members, and any changes in the team's environment (Kilpatrick, Lavoie-Tremblay, Ritchie, & Lamothe, 2014).
- ▶ A team with a common purpose and clear identification of roles and responsibilities creates a cohesive working unit that has an impact not only on the delivery of quality service, but also on the psychological well-being of the team members (Huber, 2013).
- ▶ The nurse professional development practitioner must collaborate with interprofessional groups and participate in team-building activities that foster acceptance to change.

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