NAVIGATING THE CHANGE PROCESS: THE EXPERIENCE OF, AND WAYS FORWARD FOR, FACILITY MANAGERS IN THE RESIDENTIAL AGED CARE INDUSTRY

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Certificate of authorship/originality

I certify that the work in this thesis has not previously been submitted for a degree nor has it been submitted as part of requirements for a degree except as fully acknowledged within the text.

I also certify that the thesis has been written by me. Any help that I have received in my research work and the preparation of the thesis itself has been acknowledged. In addition, I certify that all information sources and literature used are indicated in the thesis.

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Spelling in this thesis is based on the *Macquarie Dictionary (Ed 3)*, Macquarie Library North Ryde 2001. Grammar and punctuation are based on the Commonwealth of Australia *Style manual for authors, editors and printers (Ed 6)*, John Wiley and Sons Australia 2002.

Table of contents

List of acronyms

ACAT	Aged Care Assessment Team
ACHSE	Australian College of Health Service Executives
ACS	Aged and Community Services
AHS	Area Health Service
AIN	Assistant in Nursing
ANHECA	Australian Nursing Home and Extended Care Association
CEO	Chief Executive Officer
DON	Director of Nursing
FM	Facility Manager
IS	Industry Stakeholder
RCS	Resident Classification Scale
RN	Registered Nurse
RTO	Registered Training Organisation
TAFE	Technical and Further Education

List of tables

Abstract

The residential aged care industry in Australia has been undergoing change on multiple fronts since the introduction of the Aged Care Act 1997. Some of the sources of this change have been new regulatory systems such as accreditation and certification, concerns about financial viability, problems with recruitment and retention of staff, new models of care and increasing acuity of care provided.

Facility Managers of aged care homes are at the forefront of managing these changes. In spite of their central position within the industry, there has been almost no research on the general role and functions of Facility Managers and even less that focuses on their role in the management of change.

Using a constructivist methodology, this study set out to address this lack of research and to develop a range of practical proposals concerning the management of change in the sector. The research questions the study sought to answer were:

1. How is the role of managing change perceived and understood within the overall role of Facility Managers?
2. How is the role of managing change approached by Facility Managers?
3. How do Facility Managers learn to manage change?
4. Do Facility Managers need to be supported in their efforts to manage change and, if so, how should that support be provided, and by whom?

Data for the project came from one-to-one interviews with two groups: a randomly chosen cross-section of Facility Managers and a purposive sample of senior stakeholders within the sector. Thematic analysis was used to draw out patterns and themes in the interview transcripts, and to develop interpretations and connections to the literature.

The study found that there is not a clear understanding of how the management of change fits into the role of Facility Managers, and that the management of change is an issue that is in the background of management thinking and practice in the sector. The

change management aspects of the Facility Manager's role have been largely ignored or taken for granted. This can lead to stress on the individual manager as well as reducing the effectiveness of the change process.

There are many ways that Facility Managers can be better supported in the management of change, and the study presents a number of proposals to help achieve this. These focus on general principles and competencies underlying the management of change, an analytical model of change management, and management development practices supporting the management of change.

Chapter 1: The professional context of the research, the research questions and outline of the thesis

Introduction

The purpose of this chapter is to introduce and explain the research on which this thesis is based. The chapter begins with an overview of the research site – the Australian residential aged care sector. It introduces the Facility Manager as a position that has a pivotal role within the sector, and explains that there has been minimal systematic research about this role. The intense and ongoing changes that have occurred in the sector over the past seven years are explored as well as the role of the Facility Manager within this environment of change. It is argued that very little is known about the experience of Facility Managers in leading and managing change. The chapter sets out a number of propositions based on the preceding information and presents the research questions that the project is based on. The chapter concludes with a brief outline of the remaining parts of the thesis.

The professional practice setting

This research has been conducted within the residential aged care sector in New South Wales, Australia. Historically, this sector has been made up of two different types of facilities – hostels and nursing homes – that had separate regulatory and funding systems.

Hostels catered to older people who were still somewhat independent but had meals and varying degrees of personal care provided. There were low staff numbers and staff did not require any specific qualifications. On the other hand, nursing homes catered to residents who were more frail and dependent, often requiring care in all aspects of their life. The care in nursing homes was provided by a combination of registered nurses, enrolled nurses and assistants-in-nursing.

Since 1 October 1997, as part of the Commonwealth Government Aged Care Structural Reform Package, nursing homes and hostels have been unified into one system of residential aged care homes (Gray 2001). While the regulatory and funding mechanisms have been unified, many aged care homes still operate as primarily low care (hostel) or high care (nursing home). A number of homes, especially newly built ones, are providing a mixture of low and high care, so that residents can remain in the home as they become increasingly dependent. This concept of 'ageing in place' is an important aspect of the above-mentioned reform package (Department of Health and Ageing 2003).

Aged care homes receive considerable funding from the Commonwealth Government and are quite distinct from retirement villages and independent living units, which do not receive such funding. People are only admitted to aged care homes after a thorough assessment of their needs by an Aged Care Assessment Team. Current Commonwealth and State Government policy is to support older people in their own homes as much as possible and to use aged care homes only when people cannot be adequately supported in the community. Many frail older people are supported in their own homes by Commonwealth-funded support programs. The primary programs are either Community Aged Care Packages, a coordinated package of community care equivalent to low level residential care, or Extended Aged Care at Home packages, which are aimed at people who would otherwise need high level residential care (Department of Health and Ageing 2003).

The funding of aged care homes by the Commonwealth has been based on a formula that allocated 100 residential places and community packages for every 1,000 people over the age of 70. The official target allocations for this funding have been 40 high care places, 50 low care places and 10 community packages (Department of Health and Ageing 2003a). In fact, there has been a gradual increase in the proportion allocated to community packages, with the proportion reaching 14.7% in June 2002 (Australian Institute of Health and Welfare 2003). The total allocated number of places was increased from 100 to 108 in the 2004 Commonwealth Budget and the target number of

community places increased from 10 to 20 places (Department of Health and Ageing 2005).

As of 30 June 2004, there were 2,933 aged care homes across Australia (Department of Health and Ageing 2005). One of the key features of the sector is its variability, especially in terms of the size and type of ownership of aged care homes. The type of ownership, size of facilities, location by state and location by remoteness are outlined in Tables 1-4 below.

Table 1: Operational residential places other than flexible care places by provider type, 30 June 2004

Provider type	*Number of places*	Percent
Private	45,196	29.4
Charitable	17,590	11.4
Religious	54,957	35.7
Community based	23,623	15.3
Local government	2,925	1.9
State government	9,672	6.3
TOTAL	**153,963**	**100.0**

Source: Department of Health and Ageing 2005, p.12

Table 2: Aged care homes by number of places, 30 June 2003

Number of places (beds)	Number	*Percent*
1-20	284	9.7
21-40	999	34.1
41-60	885	30.2
61-80	403	13.8
81-100	188	6.4
101-120	87	3.0
120+	81	2.8
TOTAL	**2,927**	**100.0**

Source: Australian Institute of Health and Welfare 2004, p.22

Table 3: Aged care homes by state/territory, 30 June 2003

Number of places (beds)	Number	Percent
New South Wales	931	31.8
Victoria	811	27.7
Queensland	500	17.1
Western Australia	259	8.9
South Australia	296	10.1
Tasmania	92	3.1
Australian Capital Territory	23	0.8
Northern Territory	15	0.5
TOTAL	**2,927**	**100.0**

Source: Australian Institute of Health and Welfare 2004, p.22

Table 4: Aged care homes by remoteness, 30 June 2003

Classification of remoteness [(a)]	Number	Percent
Major cities	1,766	60.3
Inner regional	731	25.0
Outer regional	366	12.5
Remote	44	1.5
Very remote	20	0.7
TOTAL	**2,927**	**100.0**

Source: Australian Institute of Health and Welfare 2004, p.22
(a) Classification of remoteness uses the Australian Standard Geographical Classification Remoteness Structure as developed by the Australian Bureau of Statistics

While the residential aged care sector is funded and regulated as a Commonwealth program, there are differences between the states and territories in the patterns of ownership. For example, Victoria has a lower proportion of church and charitable providers and a higher proportion of private providers than other areas whereas Western Australia has the highest proportion of places run by local governments (Department of Health and Ageing 2003b). As well as operating under Commonwealth legislation, aged care homes also have to work within state and territory legislative frameworks in areas such as occupational health and safety, food and hygiene and administration of medicines (Department of Health and Ageing 2003b).

Another example of variability between aged care homes is whether or not the facility is part of a larger organisation. Some homes are part of large organisations that manage many services and can provide a lot of infrastructure support. On the other hand, many are small stand-alone facilities with minimal infrastructure (Department of Health and Ageing 2003b).

The dependency of residents of aged care homes is measured on an eight-point scale called the Resident Classification Scale, which is used to determine the level of government funding given to each facility. Levels 1-4 are considered high care and are roughly equivalent to the previous nursing home population while levels 5-8 are considered low care and are roughly equivalent to the previous hostel population. On 30 June 2003, 64% of permanent residents were classified as high care while 36% were classified as low care (Australian Institute of Health and Welfare 2004). A new, less complex classification system will be piloted from July 2005 (Department of Health and Ageing 2005).

The Aged Care Act 1997 does not include precise requirements for numbers or qualifications of staff in aged care homes. The provider must maintain an adequate number of appropriately skilled staff to ensure that the care needs of care recipients are met. The subordinate legislation of the Act, the Quality of Care Principles, specifies that for residents receiving high care, initial ongoing assessment, planning and management of care for residents is carried out by a registered nurse. It also specifies that nursing services are carried out by a registered nurse or other professional appropriate to the service (Gray 2001).

The role of Facility Managers within the sector

While the site for this research is the residential aged care sector, the main focus is the experience and perspectives of Facility Managers. The following section will introduce and explain the place of Facility Managers within the sector. The reasons why Facility Managers have been chosen as the main focus for the research will be explained later in this chapter.

As with many aspects of this sector, there are large variations in who Facility Managers are and what they do. To begin with, there is not a professional or industrial classification called 'Facility Manager'. It is a term I am using for this project as a single term to cover a number of positions such as Director of Nursing, Hostel Manager, Executive Care Manager, Aged Care Services Manager, Manager Care Services and Manager Residential Aged Care Facility.

For the purposes of this research, I am defining a Facility Manager as a person who is on-site and is responsible for the overall day to day operation of the facility – including the management of staff, supervision of resident care, oversight of budgets and liaison with external stakeholders. The position of Facility Manager is distinct from an Executive Manager, who provides more strategic leadership and ultimate responsibility for the organisation, rather than day to day management. The Executive Manager would typically be a private proprietor, Operations Manager, Chief Executive Officer or Chairman of a Board – although the Facility Manager may also play these roles in a small organisation. Historically, the Facility Manager in a high care aged care home

(nursing home) would be called the Director of Nursing and in a low care home (hostel) would be called the Hostel Manager. These terms are still widely used in the industry.

While the roles of a Facility Manager will vary considerably between different organisations, a typical day might include – among many other activities:

- conducting staff inservice training
- meeting with architects about plans for a new building
- supporting a family with a dying resident
- interviewing job applicants
- organising plumbers to fix a blocked toilet
- conducting a staff meeting to explain new documentation systems
- conducting a performance appraisal interview with a staff member
- balancing the budget for the month
- liaising with a general practitioner about the medical care of a resident
- dealing with a visit from the Aged Care Standards and Accreditation Agency.

The lack of research on the role of Facility Managers

Interestingly, there has been very little written about the role of the Facility Manager within the residential aged care sector. There have been no comprehensive surveys of Facility Managers, so it is not possible to present a profile of the management workforce or any in-depth analysis of their job role or training and development needs. This parallels the situation of first-line managers within the nursing profession: "…(with the exception of a few published studies in North America, the UK and Australasia) little empirical research has been done to establish exactly what the role of the first-line nurse manager is." (Duffield & Franks 2001, p.88)

There have been a number of nursing workforce surveys conducted on a national or state basis over recent years and some of these have included a focus on the aged care sector. Department of Health and Ageing (2002) contains a summary of 13 such workforce reports. These studies have been primarily concerned with the acute shortage of nurses in all areas and have not focused on examining the role of managers within the aged care sector.

Several major inquiries into nursing have discussed aged care as an important aspect of their brief. These include the National Review of Nurse Education 2002 (Commonwealth of Australia 2002; Aitken et al 2002; Pearson et al 2002), the Senate Community Affairs Committee Inquiry into Nursing (Senate Community Affairs Committee 2002) and the Review of the Current Role of Enrolled Nurses in the Aged Care Sector: Future Directions (Working Group on Aged Care Qualifications of the National Aged Care Forum 2001). While these reports have provided useful recommendations about the promotion of aged care nursing, they do not provide any particular insights into the role and function of Facility Managers within the sector.

A series of workforce surveys in nursing homes and hostels was undertaken by the New South Wales Nurses' Association (Ma 2000). These surveys asked questions about occupancy rates, staff mix and ratios of different staff to residents, changes in residents' acuity levels and changes in care hours in relation to changing acuity of residents. In terms of management, the surveys only asked about the number of hostel managers who were registered or enrolled nurses and found that around 60% were.

The Association also undertook a survey during 1999 of Directors of Nursing in New South Wales nursing homes (Ma 2000a). The survey asked basic demographic questions such as length of current employment, their position title and their age. It also asked questions about a number of other issues, including: the number of hours they worked per week, difficulties recruiting other staff, why they thought nurses resigned, whether standards had declined, occupational health and safety issues, stress in the workplace and resource allocation

A Working Group that examined lessons learned from the first round of industry accreditation (Department of Health and Ageing 2002a) recommended that aged care homes needed to develop a learning culture and managers needed to adopt a participatory style of management for continuous quality improvement to be sustained in practice. There was no specific reference to the role and function of Facility Managers in this report.

As part of the Myer Foundation project "2020 A Vision for Aged Care in Australia", Wheeler (2002) highlights the lack of coordinated knowledge of existing workforce requirements and the need for a strategic and systematic approach to workforce planning. As a broad-ranging commentary on workforce issues, this report does not include any specific mention of the role and function of Facility Managers within the sector.

The Commonwealth Department of Health and Ageing has convened an Aged Care Workforce Committee since 1997. The initial focus of this committee was on recruitment and retention of registered nurses within the sector. It later expanded its focus to include the recruitment and retention of other paid workers (Department of Health and Ageing 2004).

A recent project commissioned by this committee was a comprehensive survey of the residential aged care workforce (Richardson & Martin 2004). The report describes the sources of information that are available about employment in aged care from the Australian Bureau of Statistics, the National Centre for Vocational Education Research, the Australian Institute of Health and Welfare and other organisations. The report emphasises the limitations in the existing sources of information:

> *Despite this range of sources, the available level of knowledge about workers in aged care is remarkably limited. No single data source provides an accurate and detailed appraisal of direct care employment in residential aged care facilities in Australia, especially not of a kind that would inform complex workforce planning. Nor can such an understanding be satisfactorily constructed from multiple complementary data sources. The data that are available are often contradictory (despite measuring approximately the same thing), and may be vulnerable to problems of poor reliability and validity.*
> *(Richardson & Martin 2004, p.9)*

Richardson and Martin set out to address these limitations by conducting a survey of all aged care homes in Australia and a survey of 6,199 direct care workers employed in the sector. While this study provides a lot of useful information about direct care workers, it does not provide any specific information about Facility Managers. Employment categories used in the survey of workers were restricted to registered nurses, enrolled nurses, personal carers and allied health workers (Richardson & Martin 2004).

The Commonwealth Department of Health and Aged Care convened a Ministerial Reference Group on Management Development in Aged Care in the late 1990s. This group worked with the Australian College of Health Service Executives (ACHSE) to produce and distribute two booklets on general management and governance that were aimed at Facility Managers and board members (Ministerial Reference Group on Management Development in Residential Aged Care 2001, 2001a).

In summary, there have been a number of surveys and inquiries related to workforce issues in the residential aged care sector over recent years. The main thrusts of these have been around the recruitment and retention of staff. There are no published surveys or other studies that have examined the role and function of Facility Managers in the sector or their onging training and development needs as managers.

Residential aged care: a site beset with change and the place of Facility Managers within that change environment

An environment of change

The residential aged care sector has been undergoing massive changes on a number of fronts since the introduction of the Aged Care Act 1997 and these changes are ongoing. The changes taking place within the sector come from a number of sources, including:

- demographic changes in the population
- legislative and regulatory changes
- commercial pressures
- workforce issues
- shifts in models of care
- broader changes in management practice.

Demographic changes in the population

The structure of Australia's population is changing significantly, with a disproportionate increase in the very old. This group is the one most likely to require high level

residential care, indicating there will be an increasing demand on the sector (Gray 2001a).

The level of acuity and dependence of people in residential care is already increasing and thereby putting stress on existing resources. This is reflected in the fact that the proportion of high care residents (classified 1-4 on the Resident Classification Scale) increased from 57.8% to 64.4% between 1998 and 2003 (Australian Institute of Health and Welfare 2004).

Legislative and regulatory changes

The centrepiece of reforms introduced by the Commonwealth Government is the Aged Care Act 1997, which introduced fundamental changes to funding systems, building requirements and accreditation systems.

The funding provided to each aged care home is based on the level of dependency of each resident, measured on the Resident Classification Scale (RCS) on a scale of 1-8. It has been the source of much contention because staff have spent what they consider to be too much time on paperwork, at the expense of providing care to the residents (Pellietier et al 2002; Grenade & Boldy 2002; Yeun-Sim Jeong & McMillan 2003).

After concern was expressed about this level of administrative requirements, the Commonwealth Government commissioned a review of the RCS in 2002. As of mid-2005, the plan is to have a reduced number of questions, a set of appraisal tools to help complete the new form and changes to the validation process to focus on assessment of need rather than examining whether the care claimed for had been provided (Pretty 2004). While the industry is likely to be pleased about any simplification of the funding process, it will be yet another change for staff to have to adapt to.

All facilities need to have their buildings inspected and certified according to a prescribed set of standards. After the initial round of certification, an extended set of standards has been set up that facilities will need to comply with by 2008. These new standards provide a higher standard of accommodation, particularly focusing on residents' privacy and dignity (Department of Health and Ageing 2002b). While the

rebuilding and renovation that has been associated with the certification process will no doubt be positive for residents, it has been a major challenge for many aged care home providers and managers.

A comprehensive accreditation system has been set up nationally which all facilities must comply with to receive government funding. The accreditation system is based on four primary standards with a number of expected outcomes under each standard. The four standards are: management systems, staffing and organisational development; health and personal care; resident lifestyle; and physical environment and safe systems. A central concept underlying the accreditation system is continuous quality improvement, which aged care homes need to demonstrate under each of the four standards when they are being accredited (Department of Health and Ageing 2002b).

The system is overseen by the Aged Care Standards and Accreditation Agency. The process begins by facilities conducting a self-assessment and then making a written application to the Agency. This is followed by site visits from assessors who evaluate the functioning of the facility against the standards and outcomes. The Agency will decide whether or not to grant accreditation and for how long. All aged care homes have been through two rounds of accreditation.

Grenade and Boldy (2002) reviewed the implementation of the first round of accreditation from the point of view of service providers. They found that staff identified positive aspects as well as limitations such as excessive demands on staff, a lack of consistency among assessors and the cost to the facility. The Department of Health and Ageing commissioned a review of the second round of accreditation but this report has not been released as of May 2005.

Commercial pressures

Many of the commercial pressures on the sector are directly or indirectly related to the regulatory changes discussed above. Many older aged care homes do not comply with the new building certification standards, so many facilities are looking at rebuilding or upgrading programs (Department of Health and Ageing 2005). This is particularly difficult for small facilities that do not have a strong capital base. Other pressures come

from the increasing costs of care, particularly staff wages and the fact that high care facilities cannot charge accommodation bonds, which are necessary to enable facilities to carry out capital works (Sadler 2004).

The TwoYear Review of the 1997 Aged Care Reforms (Gray 2001) identified warning signs about the viability of the sector. This suggested that an "optimal return on investment appears to require a careful mix of facility size (larger), resident dependency mix, location (metropolitan) and ability to control labour costs" (Gray 2001a, p.125). Labour costs were identified as a particular problem with an upward movement of only 3% of wages in the high care sector presenting a serious threat to viability.

The problem is compounded by the fact that smaller facilities are often run by local Boards of Management with little experience in organising finance and capital works. Senior staff of all facilities have had to become a lot more financially literate and spend time scrutinising and justifying budgets. Many senior staff have also been immersed in managing major renovations or rebuilding programs.

The seriousness of the viability issue is seen in the Commonwealth Government recently allocating $7.2 million to conduct a Review of Pricing Arrangements in Residential Aged Care to examine long-term financing options for the sector. The review was presented to the Government in April 2004 and a number of the recommendations have been incorporated into ongoing planning and funding programs (Department of Health and Ageing 2005).

Workforce issues

There are at least two major workforce issues impacting on residential aged care. The first of these is the difficulty in recruiting and retaining staff – particularly registered nursing staff – and the second issue is finding agreement about an appropriate mix of skills and qualifications for care workers in the sector.

It is widely recognised that there is an acute shortage of nurses across Australia and internationally. This is impacting on all areas of the health system, including residential aged care. Several studies (discussed earlier in this chapter) have examined recruitment

and retention of staff in residential aged care and there is a consensus in these studies that this is the most critical issue facing the aged care sector.

The second issue relates to current regulations that do not specify the number and mix of staff required by facility operators. With the blending of nursing homes and hostels, many operators are tending to rely more on personal care attendants and enrolled nurses, in the place of registered nurses, who are more expensive to employ. This is countered by those advocating the need for registered nurses to continue to play a central role in residential care. This need is based on the complexity of multi-system disorders in older people, the effects of early hospital discharge, resultant high levels of acuity and associated care needs, and responses of older people to relocation to residential care settings (Onley 1997).

These issues have a major impact on the day to day management of aged care homes, with many facilities often being understaffed, having to rely on casual staff and having to put considerable resources into recruitment and retention.

Shifts in models of care

Another aspect of change during the recent past has been a continual questioning of models of care – on both an organisational and sector-wide level. The traditional nursing home environment was based on an institutional model of care, where residents were treated like hospital inpatients and were expected to fit into the routines of the facility such as where and when to sleep, eat, dress and undertake other daily activities.

This approach has been gradually replaced by a more resident-centred model of care where routines are organised around the wishes and needs of residents (Misiorski 2001; Boyd 1994; Deutschman 2001). Other authors have focused on changing the models of management of aged care, for example self-governed teams (Thyen, Theis & Tebbitt 1993) and power-sharing (Brown & Spiers 1992).

On a more global level there are suggestions that we should be looking at alternative ways to organise residential care, including the separation of accommodation and care provision (McCallum et al 2001; Howe 1999).

Broader changes in management practice

Managers within residential aged care have had to contend with many of the changes happening in the broad field of management. These include organisational downsizing, outsourcing and contracting of services, user pays principles, consumer rights and more professional organisational governance.

Worrall and Cooper (2001) suggest that the nature of managerial work has changed greatly in the last five to 10 years – sometimes beyond recognition. Some of the forces behind this change include delayering of organisations, new concepts such as the 'self-managed work team', guru-driven initiatives such as business process re-engineering, a move to home-based work, increasing globalisation and the frequent implementation of ruthless cost-reduction programs.

The place of Facility Managers within this change environment

There are many people involved in the management of change within the residential aged care sector. These include the residents and their family, direct care staff, ancillary staff such as domestic and kitchen staff, general practitioners, managers at several levels, owners of private facilities and boards of management. While it is not possible to say which group of players is the most important in how change is managed, it is clear that the Facility Manager plays a pivotal role.

The Facility Manager is the person who has most dealings with all other stakeholders in the system, as they are at the intersecting point of many communication and decision pathways within the workplace. In smaller aged care homes, the Facility Manager may be responsible for initiating, leading, implementing and following up all the new changes that the facility has to deal with. In larger organisations that have one or two managerial levels above the Facility Manager, they may not be so responsible for initiating change programs. However, they will still be responsible for implementing the changes on the ground and dealing with all the problems this may involve.

The Facility Manager is typically seen as the person most accountable for the day to day operation of the facility. As such, they are carrying a great deal of responsibility on

many fronts. The difficulties inherent in carrying these responsibilities are expressed in the following quotes.

> *Management, legislative, financial and documentation requirements imposed by the 'system' on DONs [Directors of Nursing] has also increased dramatically over the last few years. These changes are all with good intent to ensure that taxpayers' dollars are well-spent providing high quality care and accommodation for residents in Nursing Homes. But the DON is on the receiving end. There has been no increase in funding to provide additional resources for the DON. Government has not costed and properly resourced this benchmark of care. So again the DON is caught in the squeeze. Nobody wants to know about the problem.*
> *(Quinn 2002, p.18)*

> *The skills and knowledge base required to effectively manage long-term care facilities have changed dramatically over the last five years, having been affected by political and regulatory changes, demographic shifts, technological changes, social changes, rising consumer expectations of higher quality standards and increasing stakeholder expectations. Managerial challenges related to balancing decreasing resources with growth in demand and expectations of quality need to be properly understood if long-term care managers are to continue playing a vital role in elderly care.*
> *(Madas & North 2000, p.101)*

The fact that there have been large-scale changes within the sector and that Facility Managers have a central role in managing those changes invites a number of questions:

- How important is the management of change within the overall role of being a Facility Manager?
- How do Facility Managers consider the management of change fits within their job roles?
- How do Facility Managers learn to manage change?
- What models or approaches to managing change do they use and how do they choose these?
- What preparation do they have for the role of managing change?
- Is management of change different from the main part of their job or just another part of being a manager?
- What forms of support do they have to help them in this role of managing change?
- How successful have they been at managing change and how would they evaluate that?
- What have been the personal consequences for Facility Managers of having to manage these changes?

- How can Facility Managers be supported to most effectively manage the many changes that the sector continues to go through?

Conclusions and statement of the research questions

A number of propositions are put forward as a conclusion to this discussion:

- The residential aged care sector is a sector of considerable diversity, in terms of the size and ownership of facilities and the levels of infrastructure support that are available to managers and staff from within their organisations.
- While the Facility Manager plays a central role in the ongoing operation of the sector, there have been minimal systematic surveys or other research about the role and function of the position.
- The residential aged care sector has been undergoing significant structural changes on many fronts over the past seven years and these changes are ongoing.
- Facility Managers play a pivotal role in managing the processes and outcomes brought about by these changes.
- There has been no research undertaken on the role that Facility Managers play in the management of change within the Australian residential aged care sector.
- This lack of research means there are many unanswered questions about how well change in the sector is currently managed and what opportunities there may be to improve the current situation.

This thesis set out to answer some of these questions and to explore what opportunities there may be to provide support to Facility Managers in their change management role. Putting the main focus on Facility Managers did not imply that other stakeholder groups were not important in the change process, nor that their perspectives should not be researched. It also did not imply that the position of Facility Managers would be privileged and portrayed as 'having all the answers'.

The decision to focus on Facility Managers was partly to draw some study boundaries around an area that is complex and multifactorial. It was also because their role is pivotal to change management within the sector and there had been minimal research done into their role generally and specifically in the context of change management.

The research questions that the project sought to answer were – within the context of the Australian residential aged care sector:

1. How is the role of managing change perceived and understood within the overall role of Facility Managers?
2. How is the role of managing change approached by Facility Managers?
3. How do Facility Managers learn to manage change?
4. Do Facility Managers need to be supported in their efforts to manage change and, if so, how should that support be provided, and by whom?

The purpose in asking these questions was to use the responses, in combination with a review of the literature on change management, to develop a range of practical proposals concerning the management of change in this sector.

These research questions and the associated development of practical proposals were considered appropriate for a professional doctorate, as they were aimed at providing an understanding of an important area of professional practice and potentially improving aspects of that professional practice. The value of the research lies in this potential to improve practice. The research provides new knowledge because these questions have only been addressed minimally within the mainstream management literature and have not been addressed within the Australian residential aged care sector.

Outline of the thesis

The remaining parts of this thesis are:

- Chapter 2: Literature reviews – which includes two separate reviews: one being a general review of the change management literature and the other focusing on literature that examines the experience of managers themselves in the management of change
- Chapter 3: Methodology and methods – which outlines in turn the methodology underlying the research and then the specific methods used
- Chapter 4: The experience of Facility Managers: themes constructed from interviews, discussion and conclusions – which addresses each of the four research questions separately, then draws them together into a concluding section

- Chapter 5: Ways forward in the management of change in the residential aged care sector – which draws together findings from the interviews and an analysis of the literature to present a number of practical change management models and strategies
- Chapter 6: Conclusions – which presents general conclusions to the study.

The thesis will also include a full set of references and a number of appendices, being documents associated with the research process.

Chapter 2: Literature reviews

2.1: An overview of the change management literature

Introduction

There are two purposes of this first section of Chapter 2. Firstly, it is to locate the thesis within the broad academic discourse on change management. The second purpose is to mine the literature for insights that can be used to develop practical proposals to assist the management of change in residential aged care. While this section will provide an overview of the change management literature, the following section will focus more specifically on literature that examines the experiences of managers in the management of change.

Whereas there is some literature on the management of change in a number of disciplinary areas – such as psychology, medicine, political science, sociology, economics and nursing – the greatest amount of theoretical and practice-based literature on the topic comes from the fields of management and organisational studies. For this reason, the latter two disciplinary areas are the primary sources for this literature review.

The search strategy initially involved using the term 'change management' to interrogate databases such as UTS SuperSearch, ABI Inform, AAMAT, APAIS, ERIC. It also included reviewing the content of back copies till 1994 or 1995 of journals such as *Human Relations, Leadership and Organization Development Journal, Journal of Organizational Change Management, Administrative Science Quarterly, Organization, Journal of Nursing Management, Management Learning, Australian Journal of Management, Organization Studies, Journal of Management Development, Academy of Management Review, Australian Health Review* and *Journal of Management Studies*. A further source of literature was the reference list at the end of relevant articles.

The main part of the section will be discussion of themes in the literature that I see as prominent and of relevance to this thesis. It will attempt to present a range of views expressed in the literature under each of these themes. The section will explore why an understanding of theory is important for practitioners and will conclude with a number of personal reflections on what I have learned from the literature.

Significant themes in the change management literature

Introduction

A number of authors have attempted to organise the change management literature into typologies or frameworks that provide conceptual overviews of the literature. These include:

- Van de Ven and Poole (1995) – life cycle, teleological, dialectical and evolutionary theories
- Rajagopalan and Spreitzer (1996) – rational, learning, cognitive and multi-lens perspectives
- Ford and Ford (1994) – perspectives based on formal logic, dialectics and trialectics
- Palmer and Dunford (2002) – matrix with two images of management as controlling or shaping and three images of change outcomes as intended, partially intended or unintended
- Doolin (2003) – managerialist, processual and discursive approaches
- Beer and Nohria (2000) – Theory E and Theory O.

While most of these go part of the way in making sense of the literature, they all suffer from the same limitation – that any typology is an artificial construct that cannot reflect the complexity and diversity of what actually happens in organisational change. Rather than use these typologies to frame my enquiry, I have organised the review under a

number of themes that have emerged organically as I have immersed myself in the literature. I have used these themes because they reflect issues that appear regularly in the literature and focus on issues that are relevant to my particular research questions.

In organising the following review under a number of themes, I am aware that I am also presenting an artificial construct or framework. It is important to acknowledge that these themes are not mutually exclusive and that there are considerable overlaps between them. It is also important to acknowledge that the selection and emphasis on certain parts of the literature to the exclusion or minimisation of others is partly influenced by my own biases and interests. The personal lens that I bring to this project, and therefore that I use to view the literature, is explained as part of the discussion of methodology in Chapter 3.1.

The themes from the literature that will form the framework for this review are:

- The issue of power: whose agendas are being served, and how openly?
- The role of political behaviour in the management of change
- The process of change: to what extent can it be planned and controlled?
- The nature of change: incremental or transformational? episodic or continuous?
- The direction of change: top-down, bottom-up or sideways?
- The role of emotions: unfortunate collateral damage or an issue of fundamental importance?
- The roles of leadership and management
- Prescriptive and analytical approaches to managing change: gurus with the right answers or right questions?
- Implementation and evaluation of change management programs.

The issue of power: whose agendas are being served, and how openly?

A consideration of issues of power are fundamental to developing a clear understanding of change management (Clegg & Ross-Smith 2003; Buchanan & Badham 1999; Boje & Rosile 2001). Two specific aspects of power that I want to focus on are the power of

economic forces in driving organisational change and the power invested in management to initiate and control change.

Literature on change management is typically introduced by an explanation of the intense and relentless pressure to change that most organisations are experiencing (Morgan 1998; Cummings & Worley 2001; Conger, Spreitzer & Lawler III 1999; Kotter 1996; Stace & Dunphy 2001). The common causes of these pressures include, inter alia, commercial competitiveness, globalisation, advances in technology, growth and development in regions such as Asia-Pacific and industry restructures. For businesses, the primary issue of concern is commercial competitiveness. Case studies of 'successful' change management programs are commonly predicated on success being determined by increased market share or stock price. For public sector organisations, change is often driven by cost cutting and rationalisation of services.

With the dominance given to economic imperatives, there is scant attention given to other outcomes from change management programs such as the personal, social and ecological costs (Alvesson & Willmott 1996). Even if negative impacts of change are acknowledged, it is often argued that change is inevitable anyway because of market forces and these other impacts cannot be avoided (Sturdy & Grey 2003).

In turning to the second aspect of power, an important function of mainstream management writings has been to legitimise the existing structures of power and authority in organisations (Huczynski 1993; Dawson 1994). Wilson (1992) argues that planned change models are steeped in the reinforcement of managerial control and that managers have been accepted uncritically as having the right to be both agent and sole determinant of organisational change.

Within the context of change management, mainstream management researchers tend to accept that certain organisational changes are inevitable because of particular changes in the competitive environment. Their unchallenging acceptance of the need to change – normally in ways that support the interests of managers – is strongly criticised by Collins (1998):

> *They have claimed there is a need for innovation, an end to traditional jobs and the need for an end to traditional notions of bureaucracy and careers. Yet seldom do these authors pause to reflect who actually has such needs, or whom these imperatives serve. Indeed the gurus seldom pause to consider who these 'needs' serve because they are only too willing to accept a reading of management, environment and organization which portrays the needs of their elite paymasters and customers as universal. (Collins 1998, p.31)*

The literature on change management has been criticised for being ahistorical and acontextual (Pettigrew 1985; Pettigrew, Woodman & Cameron 2001; Dawson 1994; Cooke 1999). This means that theorists on change management have been willing to adopt "… a position where the social, political and ideological circumstances in which it is applied are assumed to be uncontested and as objectively given. This determined acceptance of context is seen to actually help sustain and reproduce these circumstances" (Cooke 1999, p.98).

Sturdy and Grey claim that the dominant view about organisational change is that it "…is inevitable, desirable and/or manageable and that this view seems to be taken for granted, receiving relatively little critical attention" (Sturdy & Grey 2003, p.659). They call for research that provides alternative voices and, therefore, choices in debates about organisational change management.

The role of political behaviour in the management of change

Whereas politics is usually discussed along with power, I have chosen to consider it as a separate theme in this review. Clearly the two issues are directly linked but discussions of power focus on underlying forces while this theme is more focused on the behaviour of individuals, specifically managers, within organisations.

A number of authors claim that political behaviour within organisations has been ignored within the management literature. Butcher and Clarke (1999) suggest that traditional approaches to change management do not produce lasting results and at least part of the reason is that inadequate attention is paid to the political dimensions of change. Their research explored the experiences of a group of managers and their results indicate that managing political agendas was central to the success of the change management process:

> *When we think about politics in this way, then being a good politician is part of the job for managers. This requires time and energy in developing relationships, especially upwards and across the organisation. It places heavy emphasis on the need for clear reading of the behaviour of others and of the key drivers within and outside the business. Managers who are good politicians must be able to read those hidden agendas, to work the formal and informal decision-making processes and be able to decipher the sub-text of what is said and not said.*
> *(Butcher & Clarke 1999, p.11/12)*

The relative absence of politics within the management and organisational theory and research literature is in contrast to the experience of managers, who are used to politics as targets or observers (Allen et al 1979). Allen interviewed 87 managerial personnel, asking what were tactics of organisational politics they were aware of and what they saw as personal characteristics of people who were most effective in their use of organisational politics. The managers were able and willing to identify political tactics used within their organisations. Politics was seen as a social influence process that was not necessarily 'good' or 'bad' per se, but having the potential of being either functional or dysfunctional to individuals and organisations.

Buchanan and Badham (1999a) explored the issue of political behaviour in organisations at some depth. Their book (*Power, politics and organizational change: winning the turf game*) is based on four beliefs:

- Political behaviour plays a more significant role in organisational life than is commonly recognised – or than is openly admitted.
- The academic management literature does not adequately explore the shaping role of political behaviour in organisational change.
- Political behaviour presents both positive and negative, 'nice' and 'nasty' faces to the observer – and to recipients and victims. An adequate treatment must explore both dimensions.
- Management development should help managers in general and change agents in particular to deal with the realities, complexities, challenges, satisfactions and dilemmas of political behaviour in organisations.

Buchanan and Badham believe it is important to bring politics more into the open because it is mainly the 'negative' aspects of politics that will benefit by suppressing awareness and discussion of the issues. This view is also supported by Hardy (1996)

who concluded that simply pretending that power does not exist does not make it go away.

Using the analogy of a motor car, Buchanan and Badham (1999a) liken the use of politics to power-assisted steering. They suggest its use is most relevant when change proposals are challenged by organisational members. Proposals that are critical and urgent may require some degree of coercion while less urgent ones will require the political skills of negotiation. They provide practical examples of how managers can use political skills in the implementation and management of change.

The process of change: to what extent can it be planned and controlled?

The underlying issue in this theme is the degree to which change in organisations can be planned and controlled. The debate is usually structured around authors who support a planned approach and those who support an emergent approach to change. I wish to discuss both and then explore how the two approaches may or may not work together.

An early and longstanding influence on the planned change literature was the work of Kurt Lewin, who proposed a three-stage approach to organisational change. His model involved unfreezing the present situation, moving to a new situation and refreezing in the new situation. Lewin's model has intuitive appeal and became an enduring influence because it was taken up as one of the foundation stones of the Organisational Development (OD) movement during the 1960s-1980s (Cummings & Worley 2001; Burnes 2000). The model's influence can also be seen in the comment by Hendry:

> *Scratch any account of creating and managing change and the idea that change is a three-stage process which necessarily begins with a process of unfreezing will not be far below the surface. Indeed it has been said that the whole theory of change is reducible to this one idea of Kurt Lewin.*
> *(Hendry 1996, p. 624)*

Various authors have developed rational, linear models very similar to Lewin but with different labels for the stages. The following two examples are cited by Stuart (1995). Tannenbaum and Hanna (1985) describe the stages as 'homeostasis and holding on' through 'dying and letting go' to the final stage of 'rebirth and moving on'. Hughes

(1991) describes the stages as ‘exit’ (departing from an existing state), ‘transit’ (crossing unknown territory) and ‘entry’ (attaining a new equilibrium).

Collins (1998) refers to models of planned change as ‘n-step’ models because they have varying numbers of steps or stages involved. He sees the key features of these models as: a ‘rational’ analysis of organisational change, a sequential approach to the planning and implementation of change, and a generally up-beat and prescriptive tone.

Cummings and Worley (2001) present a general model of planned change with the following stages: entering and contracting, diagnosing, planning and implementing change, and evaluating and institutionalising change. Ghoshal and Bartlett (2000) propose a planned approach to change that is based on three phases of activity: rationalization (building discipline, embedding support); revitalization (creating stretch, developing trust); and regeneration (integrating the contextual framework, maintaining a dynamic imbalance).

Burnes (2000) describes how developments in the OD movement during the 1990s have had implications for the implementation of planned change models. While the origins of OD had a strong grounding in humanist and democratic values, there has been an increasingly exclusive emphasis put onto economic outcomes. The role of consultants has also shifted from primarily a facilitative and developmental role to more of a directive role that is brought in to implement the management agenda with minimal input from other organisational stakeholders.

In spite of the widespread popularity that planned approaches to change still enjoy, there has been an increasing number of criticisms of this approach to change management. Wilson (1992) believes the planned approach puts too much emphasis on managers and their ability to control the outcomes of change programs. Advocates of a planned change model can be criticised because of “…their attempt to impose an order and a linear sequence to processes that are in reality messy and untidy, and which unfold in an iterative fashion with much backtracking and omission.” (Buchanan & Storey 1997, p.127). Planned approaches have typically ignored the role of power and politics in

organisatonal change and, in doing so, have limited our understanding and therefore our ability to manage change effectively (Hardy 1996).

An alternative approach to the planned approach has been termed the 'emergent' approach. An early and influential advocate of an emergent approach to change was Pettigrew (1985), who studied the use of OD interventions at Imperial Chemical Industries over an eight-year period. One of the most significant aspects of this study was that it looked at change over a long time period rather than as a single episode. Based on this study, Pettigrew argued that the mainstream accounts of change were ahistorical, acontextual and aprocessual.

Pettigrew's (1990; Pettigrew & Whipp 1991) argument was that change is a complex process that occurs over time and is influenced by any number of unpredictable variables. It is too simplistic to portray change as proceeding in a rational and linear process. The planned approach to change takes too much for granted and does not allow the analysis of the complex aspects of change over time. The emergent approach to change is represented by a loose coalition of theories rather than a tight theoretical school. They are defined largely by their rejection of the rational, linear, non-political, managerialist and short-term accounts of change supported by the planned approach.

I want to now examine the relationship between planned and emergent approaches to change. Are they opposed and mutually exclusive or can they be complementary in some way? A 'pure' version of emergent change is particularly suited to the research of organisational change. This is because it presumes and seeks out the multiple perspectives that are likely to be in play. It explores change over time and therefore includes the many small and large iterations that are likely to occur as change unfolds. It provides a more comprehensive and 'honest' understanding of change than single-shot pictures can. Principles underlying an emergent approach to the research of change have been well documented by Pettigrew (1997), Pettigrew, Woodman and Cameron (2001) and Dawson (1997).

A 'pure' version of emergent change is less appealing to managers. This is because managers have to plan as part of their role – they cannot sit back and watch as change

unfolds from day to day. They have to plan budgets a year or more ahead. As an ongoing commitment to employees they have to make plans to ensure security of employment. They have to plan ahead to comply with regulatory requirements and other aspects of governance.

The benefit of emergent theory to managers is that it challenges the taken-for-granted aspects of the planned approach and encourages managers to take a more thorough and open approach to planning. Lessons from emergent theory that managers can apply to their process of planning might include:

- the need to ensure that planning explores the need for, and the nature of, the change from non-managerial as well as managerial perspectives
- the need for plans to be well embedded in the internal and external contexts of the organisation
- an acceptance that the change process is unlikely to be straightforward and linear, but more likely to be complex, iterative and 'messy'
- a mechanism for constantly reviewing and updating plans, based on the emergence of unanticipated outcomes
- an acceptance that political factors have an important role in how plans unfold
- an appreciation that the development, implementation and evaluation of plans must be considered over a substantial period of time rather than, for example, putting all their focus on announcing a new plan and then assuming the plan will just happen.

I am suggesting, therefore, that planned and emergent approaches are not mutually exclusive. Emergent approaches provide the best opportunities for researching organisational change. They also highlight many of the limitations of following the type of rational-linear planned approach that is often advocated in the management literature. Managers can benefit greatly by incorporating many of the insights from emergent theory into the way they develop, implement and evaluate plans.

The nature of change: incremental or transformational? episodic or continuous?

The literature that explores the nature of change is not a consistent or well-bounded literature. The nature of change is discussed under many headings and this section of the review has some overlap with the literature that examined planned and emergent change.

In an attempt to make sense of this diverse literature, I have organised it to address several issues or questions:

1. What are different scales or intensities under which change can occur within organisations?
2. Is change best understood as episodic or continuous?
3. Can fundamental change only occur by a transformational process?
4. What is the relationship between change and continuity?

Addressing the first issue, there are clearly very different ways that the scale and intensity of change are described. Cummings and Worley (2001) suggest that planned change can fall along a continuum ranging from incremental change through to quantum change. The former involves fine-tuning the organisation and tends to involve limited dimensions and levels of the organisation, such as the decision-making processes of work groups. Incremental changes occur within the confines of the organisation's existing structures, systems and culture and they are basically aimed at making improvements to the existing situation.

In contrast, quantum changes aim to significantly alter how the organisation operates. They tend to involve several organisational dimensions, such as structure, culture, reward systems and information processes. Quantum changes also affect the organisation at all levels, from top-level management through departments and work groups to individual jobs.

Senior (1997) proposes three categories of change: smooth incremental, bumpy incremental and discontinuous. Smooth incremental change covers gentle, systematic

change that occurs on an evolutionary basis. Bumpy incremental refers to basically stable conditions where the pace of change accelerates. In contrast to these first two, discontinuous change involves major and fundamental shifts in the underlying systems and structures of the organisation.

Stace and Dunphy (2001) discuss the scale of change along a continuum that ranges from fine tuning, through incremental adjustment, modular transformation to corporate transformation. Kanter, Stein and Jick (1992) describe the different change processes as the 'Bold Stroke' and the 'Long March'. While the Bold Stroke leads to rapid and fundamental change, the Long March consists of small incremental changes that have a cumulative effect over time.

In reviewing the literature on incremental and transformational change, Burnes (2000) contends that no matter how many extra authors he included in the review:

> *...the end product would be the same: change can be viewed as running along a continuum from incremental to transformational. Incremental or fine-tuning forms of change are geared more to changing the activities/performance/behaviour/attitudes of individuals and groups, whereas transformational change is geared toward the process/ structures and culture of the entire organisation"*
> *(Burnes 2000, p.305)*

The second issue I wish to discuss is whether change is best understood as episodic or continuous. A prominent theory that promotes an episodic concept of change is the punctuated equilibrium model (Gersick 1991; Romanelli & Tushman 1994). According to this model, organisations evolve through relatively long periods of stability (equilibrium periods) that are punctuated by relatively short bursts of fundamental change (revolutionary periods). Following a revolutionary period, new significant changes are bedded down and form the basis of the next period of equilibrium.

Romanelli and Tushman (1994) suggested that punctuated equilibrium provides a theoretical explanation for how organisations will typically accomplish fundamental transformation. Their research examined the life histories of 25 minicomputer producers that were founded in the USA between 1967-1969. They claim that the results of their study demonstrate that revolutionary transformation, as predicted by the punctuated

equilibrium model, is a principal means by which organisations fundamentally alter their systems, strategies and structures.

An alternative view to the punctuated equilibrium model comes from authors who support a continuous transformation approach to change. Brown and Eisenhardt (1997) suggest that the former model is not relevant, particularly to firms that compete in a rapidly changing environment.

> *For these firms, change is not the rare, episodic phenomenon described by the punctuated equilibrium model but, rather, it is endemic to the way these organisations compete. Moreover, in high-velocity industries with short product cycles and rapidly shifting competitive landscapes, the ability to engage in rapid and relentless continuous change is a crucial capability for survival.*
> *(Brown & Eisenhardt 1997, p.1)*

The third issue I want to address - which is closely linked to the previous one – is whether fundamental change can only occur by a transformational process. Many authors who advocate the need for fundamental change in organisations see this happening through a process of transformational change – involving sudden, dramatic, centrally-driven shifts in the organisation's culture, structures and systems (Nutt & Backoff 1997; Romanelli & Tushman 1994; Peters & Waterman 1982). This view is exemplified by Miller and Friesen (1982, 1984), who claimed that organisations that made rapid and fundamental changes to their formal structures and systems performed better in the long-term than organisations that changed gradually or incrementally.

An alternative view is expressed by Edelman and Benning (1999), who put forward a model of 'incremental revolution'. They suggest that existing models dichotomise incremental and transformational approaches and thereby do not acknowledge that organisations can use seemingly incremental changes to achieve large-scale realignments. They acknowledge the need for fundamental change in an environment of rapid growth and change. But, they accept this can occur from a process of incremental transformation rather than only through sudden and dramatic change processes.

According to Edelman and Benning, transformational changes are not intentionally planned but evolve naturally out of small-scale changes that help the organisation adapt to its changing environment. Under their model, managers do not have a clear direction

in which they are trying to move their organisation. “They are simply struggling with developing structures, processes and strategies to ensure that the organisation keeps moving.” (Edelman & Benning 1999, p.80).

Dean, Carlisle and Baden-Fuller (1999) examined organisational change processes in a number of firms in the privatised UK water industry. They found that punctuated change is a response to failure and is often effective. However, overall, when they work, incremental change approaches have been as effective as punctuated change approaches in effecting organisational change. They argue that there are strong grounds to question the traditionally-held view that environmental turbulence *requires* punctuated change programs. They suggest that incremental change can achieve the same performance results as punctuated programs without the associated disruption. Dean, Carlisle and Baden-Fuller cite Reger et al (1994) who argue that to overcome internal resistance to punctuated change and the apathy and inertia of incremental change, the best is achieved from ‘middle order’ changes. These may lead more readily to internal changes that are radical in their impact, and greatly improve performance.

The fourth issue I want to consider is the relationship between change and continuity. Looked at simply, they seem to be opposing concepts. Change is glorified and reified in the change management literature, while continuity (stability) “…is configured as what happens when nothing happens. It is either a problem or a nullity” (Sturdy & Grey 2003, p.652)

However, Sturdy and Grey (2003) suggest that change and continuity are not alternative objective states. They are not alternatives because they are typically coexistent and coterminous; and they are not objective because what constitutes change or continuity varies, depending on one’s perspective. Successful change programs require either times or psychological zones of continuity and stability (Pettigrew 2000). Managers need to provide a coherent and sustainable direction for the organisation. They also need to keep personnel and systems in place to the extent that changes can be properly implemented and followed through.

Leana and Barry (2000) explore the issue of stability and change as simultaneous experiences in organisational life. As well as discussing the usual forces for change, this article is useful in that it also highlights the forces that encourage stability in organisations. These include institutionalism, transaction costs, sustained advantage, organisational social capital and the reduction of uncertainty. Leana and Barry suggest that change and stability co-exist in organisations and both are necessary to support the long-term effectiveness of the organisation.

In closing this section of the literature review, I would like to make some closing remarks in an attempt to draw some of the threads together:

- There are a range of changes that occur in intensity and in the breadth of their impact across an organisation.
- Different change situations may require quite different responses. The appropriateness of the response will be affected by issues such as the immediacy and potential threat of the change, size and complexity of the organisation, the stage of the life cycle the organisation is at, previous experiences of change within the organisation, the level of resources within the organisation and the perspectives and mind-sets about change of senior executives and other organisational members.
- Rather than trying to find the most correct model, it is more useful to draw lessons and insights from different models and develop responses appropriate to each situation.
- The punctuated equilibrium literature has value in highlighting the need for sudden and dramatic change – particularly at times of threat to the organisation. However, the continuous transformation literature probably provides a picture that is closer to the experience of many organisations.
- The main problem with the continuous transformation model is that the language is too ‘strong’ – the idea of continuously transforming is too ‘stressful’ and does not acknowledge the importance of continuity. My own view is that the ideas underlying this approach can be better understood in terms of continuous receptivity and responsiveness to change. This may effectively position organisations in the ‘middle ground’ between the extreme states of equilibrium and transformation.

The direction of change: top-down, bottom-up or sideways?

The main issue underlying this theme is the nature of change in terms of whether it is driven in a top-down, bottom-up or some other fashion.

As discussed in an earlier section of this review about power, most mainstream accounts of change management have an underlying, though often unstated, assumption that change programs should be basically driven and controlled by a Chief Executive Officer (CEO) or senior executive in a top-down fashion. This has occurred particularly since the 1980s, when strategic management theory challenged the previously dominant position of organisational development, which had more of a participative focus to organisational change (Dunphy 2000).

Conger (2000) argues the case for top-down leadership by suggesting three advantages that senior management has over junior levels in the implementation of organisational change. The first advantage is that senior executives are like 'generals on top of the hill' in that they have a broad and long-range view of the situation, whereas the 'troops' have a very limited perspective of the situation.

The second advantage suggested by Conger is the attribution of power and responsibility that is often bestowed on CEOs and other senior executives because of our fascination with romanticising leaders. The third advantage is the formal authority and power that is attached to the top positions. Senior executives have a formal mandate from the owners or Board to set directions and allocate resources within the organisation. While advocating the top-down approach as the preferred way to achieve organisational change, Conger does not see this as excluding participation by lower-level managers and other staff, although their role seems to be confined to implementation at a micro-level.

In contrast to the top-down approach, other authors have argued that groups other than senior executives should be, and in fact often are, responsible for driving change initiatives. A strong challenge was made to an exclusively top-down approach by Beer, Eisenstat and Spector (1990) in their *Harvard Business Review* paper 'Why change programs don't produce change'. In this they suggest that the real energy for change

does not come from the top but from the periphery of the organisation. They also propose that the emphasis should not be on changing individuals but by putting people into new roles, responsibilities and relationships.

Clarke and Meldrum (1999) highlight the role of middle managers in initiating change. They suggest there needs to be greater emphasis on change that emerges from new business opportunities within pockets of organisations that can then be taken up across the organisation. Clarke and Meldrum conducted four case studies of change that were initiated in this way. They identified characteristics of middle managers that helped them play this role: vision, self-insight and ambition, positioning of causes, subversion and political astuteness. The middle managers had a belief in their own position and did not wait for centrally driven change to be rolled out. The authors suggest that "…we must be able to find new ways of creating and sustaining change that facilitates innovation and provides the genuine freedom for managers to make choices in what they do." (Clarke & Meldrum 1999, p.79)

Morrison and Phelps (1999) discuss extrarole behaviour to initiate change by non-managerial employees. They call this behaviour 'taking charge' and describe it as an employee's preparedness to challenge the status quo in order to improve operations and bring about constructive change. They found that the taking charge behaviour of employees was influenced by two main factors: whether employees perceived top management as being open and supportive of such behaviour, and the individual employee's level of self-efficacy and felt responsibility. They suggest that organisations need to find ways to promote this behaviour in employees, as it is an important way to promote long-term innovation and change.

O'Brien (2002) presents a case study within a large public sector organisation that attempted to equip relatively junior staff with the skills and competencies to cope with the challenges of change. The study utilised an action research approach and found that the active participation of staff through the project led to a more positive attitude in their ability to effectively engage with the change process. It also made the executive management more aware of the views and the potential of more junior managers.

While acknowledging that there is considerable discussion of participation and other aspects of 'bottom-up' approaches to change in the management literature, there are authors who question the authenticity of this discussion. Critical theorists and critical postmodernists tend to argue that there is more disempowerment than empowerment in Human Resource practices that advocate participation (Boje & Rosile 2001). This is because, without formal power structures of direct worker ownership and representation, the only real power is held by executive management. Furthermore, consideration of these issues has been clouded by the fact that "…discussions of power are conspicuously absent from these empowerment debates that have so permeated the management literature of the 1990s." (Boje & Rosile 2001, p.91)

Argyris (1998) suggests that change programs and practices are typically full of inner contradictions that cripple innovation, motivation and drive. He believes that managers love empowerment in theory but are really only comfortable with the familiar management model of command-and-control.

> *When it comes to empowerment, executives and employees are engaged in shadowboxing. Management says it wants employees who participate more; employees say they want to be more involved. But it is difficult to know who means what. Is it just a charade? Employees push for greater autonomy; management says the right thing but tries to keep control through information systems, processes and tools. Employees see vestiges of the old command-and-control model as confirming their worst suspicions – that superiors want unchallenged power. Management just wants to see better numbers. (Argyris 1998, p.103)*

In an attempt to draw this section to a close, my suggestion is that the way the roles of top-down and bottom-up processes occur will be both variable and changeable. It would seem clear that neither extreme is likely to be effective. Purely top-down change will not promote enough underlying willingness and commitment across the organisation to sustain the change process. Except in small organisations or ones that have a firmly entrenched egalitarian culture, a purely bottom-up approach is unlikely to provide the direction, resources and coordination needed to move change forward.

The ways that this dilemma are worked out will depend largely on the positions of power taken by senior management and by lower level managers and employees – both individually and collectively. One point that I would advocate is that these positions be articulated and acknowledged rather than just happen in a way that seems 'right' and

'inevitable' but which is usually only representing a thinly disguised management agenda. Management and employees should be aware of and take responsibility for their actions and accept the consequences. For example, if management takes a very top-down approach, they cannot then expect that everyone will be happy about the changes; if management and employees want a genuine level of participation, both parties will have to accept this will mean new ways of performing their roles.

I will conclude this section of the literature review with some recommendations from Argyris (1998, p.105) on how organisations can move forward on the issue of empowerment:

- Recognise that every company has both top-down controls and programs that empower people and that some inconsistencies are inevitable and must simply be managed. When these inconsistencies become apparent, encourage people to bring them to the surface; otherwise a credibility gap will be created that can pollute the organisation for years.
- Do not undertake blatantly contradictory programs – make sure what is espoused will not contradict what actually happens.
- Understand that empowerment has its limits. Know how much can be created and what can be accomplished. Know that it is not a cure-all. Do not evoke it needlessly and once it has been created do not misuse it. Be clear about who has the right to change things. Specify the likely limits of permissible change.
- Realise that internal and external commitment can co-exist in organisations but how they do so is crucial to the ultimate success or failure of empowerment in the organisation.
- Establish working conditions to increase empowerment in the organisation.
- Calculate factors such as morale, satisfaction and even commitment into your human relations policies, but do not make them your ultimate criteria – which needs to be performance.
- Help employees understand the choices they make about their own level of commitment.
- Remember that empowerment can run contrary to human nature and be realistic about how to achieve and use it.

The role of emotions: unfortunate collateral damage or an issue of fundamental importance?

A number of authors have suggested that management literature and practice does not put enough emphasis on the personal and emotional aspects of change management. Vince and Broussine (1996) and Carr (2001) stress the dominant role that rationality plays in managerial thought, action and training. This dominance of rationality means that emotional reactions to change are most often not recognised or else dismissed as unimportant.

Eisenberg (1997) critiques the practice of organisational re-engineering that was popularised by authors such as Michael Hammer and James Champy. Eisenberg points out that the engineering basis of this approach did not leave any room for the personal aspects of organisational change and that re-engineering programs have not been successful largely because of their neglect of the human factor.

Iacovini (1993) suggests that organisations tend to focus on the business aspects of change and ignore the more personal aspects that affect staff. However, this will likely lead to poor business outcomes if staff become dissatisfied, lose their loyalty to the organisation and reduce productivity. He suggests:

> *The secret to real success is effective management of the emotional vulnerability that accompanies organizational change. Honoring employees' needs and helping them understand and make sense of what is going on can do more than just get them through the change. Under the right conditions, such understanding can enhance employees' personal and professional growth, add value to their lives, and lead to increased loyalty (Iacovini 1993, p.65)*

Paying attention to the emotional impact of change does not have to be seen as an altruistic act. It also makes good business sense if one believes that paying this attention will increase the chance of success in the change program. It will also lead to improved performance, reduced absenteeism, improved motivation of staff and reductions in discontent among the workforce, staff turnover and recruitment and retraining costs. (McHugh 1997).

Stuart (1995; 1996) conducted research into managers' experience of organisational change programs. He found that most expressed difficulty in managing change and that

a significant number reported stress, worry, angst and grief at a level that would normally be associated with disasters, catastrophes or even abuse. Stuart suggests that many organisational change attempts have negative consequences, including low morale, stress, low esteem, disorientation, mistrust, loss of direction and control, anxiety, uncertainty, insecurity, outrage, sadness, eroded loyalty, lack of commitment, fear, excessive caution and low risk taking. He suggests that people who orchestrate change programs must be aware of how the content and implementation of such programs can potentially be traumatic for employees. He also asks for the traumatic experience of change to be acknowledged and added to the cost-benefit analysis of change programs.

Doorewaard and Benschop (2003) critique the role of human resource management in organisational change and suggest that it is too influenced by a unitarian and technical approach, while neglecting the complexity of human beings and how they function within organisations. “In particular, the approach neglects the ambiguities, irrationalities, and emotions that characterise the usual practice in organizational change” (Doorewaard & Benschop 2003, p.273).

They want to broaden the scope of human resource management so that it includes both rational and emotional considerations. Their approach is based on a relational theory of emotions, which suggests that emotions are based on both individual characteristics and the power-based relationships between people in the organisation. A relational approach to human resource management does not try to control and neutralise emotions but acknowledges their complexity and relevance to how change is experienced and managed.

Stensaker, Meyer, Falkenberg and Haueng (2002) explore the issue of knowing when change is excessive and understanding the consequences of excessive change. They suggest that one of the consequences is change fatigue – the individual’s response of becoming disoriented or dysfunctional as a result of too much stimulation. The impact of excessive change can be lessened by managing the timing of change programs and by focusing on how changes are introduced, communicated and completed.

One aspect of emotions in the workplace that I found very interesting was the concept of the 'toxic handler', proposed by Frost and Robinson (1999). The unrecognised but very important role of 'toxic handlers' is played by managers who provide emotional support to staff in times of stress and change. Some of the ways they do this are by: listening empathetically, suggesting solutions, working behind the scenes to prevent pain, carrying the confidences of others, and reframing difficult messages.

Frost and Robinson suggest that the need for toxic handlers has been increased by the growing prevalence of change initiatives and the impact of organisational downsizing, when the employees left behind feel a combination of guilt and fear. They point out that toxic handlers provide a healing role within organisations but end up suffering themselves as a consequence. It is important that their role is acknowledged and supported as much as possible.

In closing this section, there seems to be consistent and clear arguments to support the position that the emotional and other individual effects of change need to be fully acknowledged. Any model which attempts to portray a comprehensive account of change management should include the analysis of the emotional impact of change as well as clear strategies to respond to these impacts.

The roles of leadership and management

I wish to discuss two broad areas of literature relating to leadership: who within organisations is responsible for leadership; and the relationship between leadership and management.

Bryman (1996) suggests that the theory and research on leadership can be grouped under five historical groups. A detailed discussion of these is not relevant for this review, but historically the first three general approaches were the trait approach, the style approach and the contingency approach. Bryman calls the fourth approach to leadership theory the 'new leadership approach', which emerged in the 1980s. This approach is found in a loose collection of authors who saw leaders as setting and

articulating a vision and mission for their organisation. Terms that were used to describe this type of leadership included transformational, charismatic and visionary.

A significant contribution to this area of theory was made by Burns (1978) who proposed the ideas of transactional and transforming leadership within a political context. Whereas the transactional leader has a stable relationship with subordinates that basically reinforces the status quo and keeps the system going, the transforming leader seeks to fundamentally change their organisation and is able to get subordinates to willingly take on this challenge. Bass (1985) and Bass and Avolio (1990) further developed Burns' concepts of transactional and transformational leadership within an organisational context. The idea of the transformational leader was popularised during the 1980s by authors such as Peters and Waterman (1982), Kanter (1985), Tichy and Devanna (1986) and Conger (1989).

The concept of the transformational leader has been critiqued by a number of authors such as Beer (1999), Landrum, Howell and Paris (2000) and Urch Druskat and Wheeler (2003). The limitations of the literature on transformational leadership are pointed out by Bryman (1996) as: focusing almost exclusively on top leaders, ignoring any consideration of informal leadership, failing to consider the different situations and contexts that leaders might be in, methodological problems within the research, and emphasising only leaders that were considered as successful.

Bryman labels the last of his five grouping of leadership theories as 'dispersed leadership', which has emerged to counter some of the limitations of previous theories. One aspect of this approach is that it is not just focused on the top echelons of the organisation, as the approach involves developing leadership in a range of people beyond the small executive management team (Kouzes & Posner 1993). Another aspect of dispersed leadership is that it studies processes and practices of leadership in informal leaders as well as officially designated ones. The need for leadership to be dispersed rather than concentrated in a small band of people at the top of the organisation is also expressed by a number of other authors (Cummings 1999; Stace and Dunphy 2001; Kotter 1996). The view is put this way by Kotter:

> *The solution to the change problem is not one larger-than-life individual who charms thousands into being obedient followers. Modern organizations are far too complex to be transformed by a single giant. Many people need to help with the leadership task, not by attempting to imitate the likes of Winston Churchill or Martin Luther King, Jr., but by modestly assisting with the leadership agenda in their spheres of activity.*
> *(Kotter 1996, p.30)*

The second aspect of leadership I wish to discuss in this section of the literature review is the relationship between leadership and management. Conger, Spreitzer and Lawler III (1999) suggest that before the mid-1980s the two issues were considered together, in that anyone in a management position was essentially seen as a leader. Since that time there has been a shift in the literature, so that management and leadership have been seen as separate activities.

Conger, Spreitzer and Lawler III suggest that management involves the administrative and operational demands of an organisation, such as purchasing and deployment of resources, and that management is based around formal systems of rewards and performance measures. On the other hand, leadership involves longer-term and more adaptive challenges. The essential characteristics of leadership include "the ability to challenge the status quo, engage in creative visioning for the future of the organization and bring about appropriate changes in the followers' values, attitudes, and behaviors through inspiration and empowerment." (Conger, Spreitzer & Lawler III 1999, p.355)

Kotter (1990) suggests that the core processes of management are planning and budgeting, organising and staffing, and controlling and problem solving; while the core processes of leadership are establishing direction, aligning people, and motivating and inspiring.

Since the mid-1980s, the literature on transformational leadership has emphasised the importance of leadership in managing rapidly changing environments. Conger, Spreitzer and Lawler III (1999) suggest this is because before that time (in the USA at least), there was too much emphasis on management and not enough on leadership. Some suggest that this emphasis on leadership has now swung too far the other way and there is inadequate attention given to management.

Caldwell (2003) suggests that the literature on charismatic and transformational leadership has relegated the role of managers to control-oriented conformists, lacking in vision and unprepared to take risks. This has produced an unfortunate dichotomy that does not match the reality of leading and managing change in most organisations.

Rather than simply fulfilling their roles as directors of work processes, managers often perform a new role as 'facilitators'. This role means encouraging commitment and empowering employees to be open and responsive to change. This role has become more significant as many organisations develop a less hierarchical structure, and there is pressure on managers to embrace leadership attributes and behaviours that will help them cope with a constantly changing environment. This has included interpersonal skills such as listening, communication, team building, facilitating, negotiating and conflict resolution.

Caldwell's research develops sets of attributes that characterise change leaders and change managers. While he claims that change leaders tend to be executives or senior managers and change managers tend to be middle managers, he also suggests that: "In practice, of course, the two roles may often be indistinguishable, because the attributes required to lead and manage change are simply inseparable aspects of managerial work in organisations facing the ever-increasing challenges of coping with constant change." (Caldwell 2003, p.291)

Nadler and Tushman (1990) argue that both leadership and management are needed to bring about large-scale change. They suggest that strong leadership is required to provide direction and a focal point to harness other people's energies and aspirations. This leadership will be ineffective unless it is backed up by a strong management function that provides structures and systems for implementation of the change program.

The need to have a combination of qualities that are identified as part of leadership or management is also stressed by Kotter (1990). If leadership and management are both weak, the organisation can be like a rudderless ship. If there is strong leadership and weak management, there can be pointless change for change's sake that is never

implemented properly anyway. Strong management with weak leadership is likely to lead to a bureaucratic and moribund organisation. The ideal combination is to have strong leadership as well as strong management.

In drawing this section of the review to a close, I would suggest that leadership must be a vital component of any comprehensive model of change management. Most situations will require that the executive management needs to provide reasonable levels of leadership in areas such as developing a vision, setting standards and motivating others in the change process. However, if the senior executive see leadership as their province only and do not facilitate the leadership potential and behaviours of middle managers and others in the organisation, it is unlikely the change program will be fully adopted in a sustained manner. Executive management should also accept that leadership may emerge from other persons or groups within the organisations and they need to consciously work out how to respond to this situation.

In terms of leadership and management, the two roles are different in some ways but must occur together for either one to be really effective. In many organisations, some management personnel (typically executive managers) may have a stronger mix of leadership in their role than others (such as middle and frontline managers). However, this scenario should not be taken for granted, is not set in concrete and will depend largely on the structure in each specific organisation. In many organisations, particularly in the context of continuous change, there is an expectation that all managers have clear leadership functions within their role.

Prescriptive and analytical approaches to managing change: gurus with the right answers or right questions?

This theme in the literature is similar to the discussion earlier about planned and emergent change, but examines the issue from a different perspective. There is a multitude of prescriptive models of change in the management literature that take the reader through a series of steps to successfully manage the change process (Jick 1991; Kotter 1996, 1999; Garvin 2000; Mento, Jones & Dirndorfer 2002). At the same time, there is a dearth of literature that seeks to genuinely analyse and make sense of the

experience of managing change (Collins 1998; Hartley, Bennington & Binns 1997; Doyle, Claydon & Buchanan 2000).

The proliferation of prescriptive models is contributed to by managers' search for the 'one best solution' to their problems (Hussey 1982; Huczynski 1993). They are appealing to managers because they suggest that if the manager works hard and sticks to the script, they can be confident of achieving the changes they want (Collins 1998). A number of authors have condemned the uncritical acceptance by managers of the works of consultants and management 'gurus'. Weick and Quinn (1999) cite the work of Micklethwait and Wooldridge (1996) who suggest that "…the reason American businessmen talk about gurus is because they can't spell the word charlatan" (Weick & Quinn 1999, p.364).

One of the fundamental problems with following prescriptive models is that there is little empirical evidence for any of these specific models and no clear reasons to support a seven-step model over a five-step, 12-step or 15-step one. Most authors propose their models only based on their experience working with organisations and 'superior insight' (Collins 1998).

The other fundamental problem with this approach is that it reduces the management of change to a simplistic, linear process that ignores or downplays the complex and iterative nature of change. By declaring change to occur through a series of pre-determined steps it does not allow for new emerging factors that typically come into play in most change programs.

Prescriptive models normally locate the mandate for, and control of, change with management. To that extent they exclude the voices of other stakeholders – particularly employees. They portray conflict as a temporary phenomenon that can be overcome with appropriate communication strategies and dismiss any views that do not support the model as 'resistance' that can be 'overcome' through various strategies.

In contrast to this prescriptive approach to change management, other authors suggest a more analytical approach that does not set out a number of preordained steps to go

through (Pettigrew 1985, 1990; Dawson 1994; Collins 1998). According to this approach, models of change should accept that the process will be uncertain and confusing at times. The experience of change will vary in different industries, cultures and in terms of external pressures and constraints. There will also be multiple stories of the change process from different stakeholders rather than a single managerial story that swamps all others.

Adoption of an analytical approach in preference to a prescriptive approach is likely to prove frustrating to many practising mangers who need to be able to 'get on with the job at hand'. Analytical approaches may be seen as 'too academic' and not 'practical enough' to be of use. However, Collins (1998), drawing on the work of Clarke and Ford (1970), suggests that the prescriptive models that are aggressively sold as 'practical' more often than not do not actually work in practice and a large reason for this is because they do not have a firm theoretical or analytical basis.

Analytical approaches avoid the adoption of a standard model that may have limited relevance. They also encourage the complexity of the situation to be acknowledged and discussed, so there is a greater likelihood that these issues will be resolved in the long-term. Analytical approaches to change share the benefits of an emergent approach – as outlined in an earlier section of this literature review.

Implementation and evaluation of change management programs

While there is a voluminous literature on the management of change, very little of this focuses on evaluating the outcomes of change management programs. Anecdotal accounts suggest that the majority of change programs do not achieve their objectives (Cao, Clarke & Lehaney 2004; Beer & Nohria 2000a; Poole 1998). The literature that does mention evaluation rarely explores the inherent problems involved in this.

The main problem with declaring any program a success is how to define success in the first place (Pettigrew 2000). Many of the case studies found in the management literature define success in financial terms such as share-price or profit margins.

However, using an economic definition of success ignores other potential outcomes of change programs such as the psychological impact on staff, impact on industrial relations, social and cultural impact on communities and effects on the environment. How the change program is evaluated will depend on the standpoint and values of different stakeholders. While one might argue that the values of all stakeholders are equally valid, the mainstream management literature tends to privilege the narrow economic criterion over such other outcomes. If mentioned at all, these other outcomes are likely to be dismissed as regrettable but unavoidable consequences.

> *As the political quality of management practice is denied or trivialised, consideration of the personal, social and ecological costs of the managerial methods of enhancing growth, productivity, quality and profit is largely ignored. Scant attention is paid to the increase in stress, the loss of autonomy in work and leisure or the degradation of the environment – all of which are associated with the drive for 'efficient management'. (Alvesson & Willmott 1996, p.37)*

A second problem with evaluation of change programs is knowing what timeframe to use. Even if one had a comprehensive set of criteria to assess success, when would these be applied? A program may produce short-term pain but have positive results in the long-term. Other programs may seem to produce positive results in the first instance but have a number of negative consequences further down the track.

Relating theory to practice of managing change

The above overview of the literature shows that there are very diverse positions on many aspects of change management. These seem overwhelming to the practicing manager who may feel s/he is doing well just to get through the week. Taking time to become familiar with the theory in the literature is particularly unappealing because there do not seem to be any clear and 'easy' answers. The question then is: Why do managers need to be aware of, and familiar with, theories surrounding the management of change?

Burnes (2000) acknowledges the diversity of theories on the management of change and the difficulty in comparing and contrasting them because they are based on different underlying philosophies, purposes and methods. However he also argues that managers should not dismiss theory as unnecessary because those responsible for success in organisations must understand the different approaches to managing change and be able

to match these to their particular circumstances. “On this basis, understanding the theory and practice of change management is not an optional extra but an essential requisite for survival.” (Burnes 2000, p.257)

Stace and Dunphy (2001) ask the question: “Why do we need a theory of change?” and go on to answer their question with a case study of change management with the General Freight Division of the TNT corporation. The initial program focused on centralisation and economies of scale and used strategies such as restructuring, and tightened reporting. After this approach failed to get results, it was acknowledged that human relationships and cultural issues had been ignored and so a whole new program (“TNT Gold”) was developed with a focus on customer service and building a culture of commitment. When this second approach did not achieve the desired results, a new Chief Executive Officer was appointed who abandoned the TNT Gold program and set about decentralising the operation. Before this could be achieved, TNT divested the freight division and in fact the whole company was eventually bought by a foreign company.

Stace and Dunphy argue that the board and managers appear not to have had a shared and consistent theory of change from which they could develop effective change strategies. They likened the series of decisions about strategies to a fish on the end of a line flopping from one place to another, desperately hoping their next flop will solve their problem. “Effective change managers have theories which guide their action. The theories are not always explicit; some managers cannot articulate their theory clearly but nevertheless their actions show a consistent and meaningful pattern of response which produces a powerful trajectory of change” (Stace & Dunphy 2001, p.125).

Collins (1998) suggests that attempts to make literature ‘practical’ and of relevance to practitioners leads to the supply of ‘practical’ advice that has no theoretical explanation. Problems arise because readers are then not aware of the limitations of this advice. Yet any focus on the practical still owes a debt to theorising. Every choice made about the management of change is based upon the consideration of theory – if only at an implicit level. According to Collins, the quest is not to find the ‘right theory’ but to

develop an awareness of the theoretical underpinning of our actions – making the implicit explicit and thereby taking responsibility and being accountable for our actions.

> *In short truly* useful *approaches to planning and managing change both practically and academically, come, not from obscuring theory, but from the rigorous analysis of theory. Instead of disguising the use of theory, therefore, it is far more important to 'interrogate' your personal frame of reference and those of others. Really important issues for management and for academia, therefore, stem from the interaction and contradiction between the various multiple realities of all those who exert an influence on the contours of organizations and organizational change.*
> *(Collins 1998, p.136)*

Conclusions

The following conclusions are based on my reading of a diverse literature, a reading that is clearly influenced by my own interest in change and my selection and emphasis of certain areas of literature over other areas. The conclusions represent a set of personal reflections from the literature that I see as providing a theoretical and practical framework for the thesis. These reflections will provide significant input to Chapter 5 of the thesis, where the relevance of the literature to the residential aged care sector will be presented.

- Change can occur in many shapes and sizes and levels of intensity and urgency. This means that any simple or unitary approaches to managing change are not likely to be adequate.
- There is not a 'single' or 'best' way to understand change management. The way each person understands the issues will depend on a number of factors, including their underlying worldview and their explicit or implicit theoretical understanding of change.
- Much of the management literature on change management has adopted a 'taken for granted' position that reinforces the unchallenged power of management to initiate and direct change management programs.
- Much of the management literature on change management has pushed economic reasons for justifying change programs at the expense of other organisational, personal or social reasons.
- Managers responsible for planning change programs should accept that change is often a complex and unpredictable phenomenon that is best understood over time.

Planning should be well embedded in the internal and external contexts of the organisation. It should also be flexible so that unanticipated outcomes can be dealt with effectively.

- There is much hype in the management literature (especially the more popular variety) about the need for continuous transformation. This may be better understood as the need for organisations to be open and receptive to their environment and have systems and structures that allow them to easily anticipate, initiate and manage change.
- The emotional aspects of change are often ignored or downplayed by those responsible for initiating and implementing change programs. As well as leading to negative outcomes for individuals, this can seriously compromise the effectiveness of the change program itself.
- Leadership plays a vital role in successful change management. This includes clear and strong leadership from the top of the organisation as well as a commitment to promoting leadership at all levels of the organisation. There needs to be a combination of leadership and management skills for change management to be effective.
- When organisations feel the pressure of change, they often resort to prescriptive programs of change management that provide recipes of what they should do. A much more productive approach is to educate managers about the options they have available and encourage them to make choices and then take responsibility for the consequences of their choices.
- In terms of the relation between theory and practice, the quest is not for managers to find the 'right' theory but to develop an awareness and reflexivity about how and why they manage change in the ways that they do.

2.2 The management of change: the experience and perceptions of managers

Introduction

While the previous section provided a broad overview of the literature on change management, this second section of Chapter 2 focuses more specifically on literature that explores the perspectives of managers. As with the previous section, the primary source of literature is from the fields of management and organisational studies. Literature has also been included from the fields of nursing and residential care in an attempt to access information more directly related to the research site.

Perspectives from the management literature

Burnes (2000) suggests there have been very few studies on the management of change from the point of view of managers. Other authors have echoed this view. "There has been relatively little empirical research on the roles played by internal-change agents in the processes of developing and managing organizational and cultural change, or on their learning needs*" (*Hartley*,* Bennington & Binns 1997, p.61*).*

> *Despite wide support for the view that change has become a central and challenging managerial responsibility, the literature focuses mainly on theory building on the one hand, and on the development of prescriptive checklists on the other. Management perceptions of change outcomes, and of the change implementation process, have been largely ignored*
> *(Doyle, Claydon & Buchanan 2000, p.S59)*

Isabella (1990) conducted research to determine how managers construe events over time and how their viewpoints are linked to the process of change. The approach involved interviews with 40 managers at different levels within a single, medium-sized financial-services institution. Each manager was asked to describe and discuss five significant events that had occurred in the organisation during the last five years.

Qualitative analysis of the data led Isabella to conclude "that interpretations of key events evolve through a series of stages – anticipation, confirmation, culmination and

aftermath" (Isabella 1990, p.14). She then goes on to develop a model that includes processes that move individuals from one interpretive stage to another.

Stuart (1995) suggests that, from the point of view of individual managers, there is a big gap between the rhetoric and reality of organisational change:

> *...the literature on the individual experiencing of change is fragmented and largely located within discrete, specialist disciplines....The literature which has actually been located within the areas of organizational change has, in the greater part, been directed towards exhortations as to how managers should respond and behave in such change, rather than illuminating the reality and actuality of managers' experiencing. (Stuart 1995, p.51).*

Stuart interviewed 63 managers on different levels within two large industrial organisations. The managers were encouraged to talk through their experiences in their own words. He found that there were large individual differences in how managers experienced change. While all managers might know the organisation's formal and communicated change objectives, the way they experience it is mediated through their own personal views, experiences and concerns.

He suggested that approaches to change management tend to focus on the formal objectives, for example delayering, devolvement of responsibility and teamwork. In doing this, they ignore the reality of how individuals are experiencing the change process. Managers have to be accountable to the formal objectives while often grappling with the complex individual responses of themselves and the staff they are managing. The fact that these individual responses are often not even acknowledged makes the job of managing change very difficult.

Hartley, Bennington and Binns (1997) explored the perceptions, roles and learning needs of internal change agents in elected local authorities in the UK. They employed an action research approach that brought six managers from four Local Government Authorities together in a learning laboratory for five workshops over a period of six months. Each manager focused on a particular change project they were involved in at the time. The focus of the study outcomes was the learning about the change agent role that occurred for participants. Placing this learning within a workplace context meant

that it went beyond focusing on personal skills and competencies to incorporate the wider organisational and political context.

Saka (2003) examined the issue of change management through the eyes of managers, to gain an insight into the approaches that managers actually take in practice. Twenty interviews were conducted with managers from two companies – an engineering firm and a training organisation. The study found that managers espouse a rational-linear approach to change but in fact are driven by a range of cultural and political factors and that there are quite different approaches taken across organisations. "Although, in theory, common values and preferences can allow for clarity in direction, in practice, resource restraints and power struggles do not provide one with the flexibility to work towards a complete agreement of organizational decisions and goals" (Saka 2003, p.493).

One academic group that has conducted a number of studies on managers' experience of change is the Organization Development and Change Research Group at De Montfort University, UK (Buchanan & Badham 1999; Buchanan, Claydon & Doyle 1999; Doyle, Claydon & Buchanan 2000; Doyle 2000; Doyle 2001; Doyle 2002; Doyle 2002a; Buchanan 2003). The group facilitated an 'organisation development and change forum' in 1997 that was attended by 34 managers from 27 public and private sector organisations. Focus group discussions led to the articulation of four main themes or concerns of the participants: choice and planning of implementation strategies, effective management of change, culture and communication issues, and change management and political factors (Buchanan, Claydon & Doyle 1999).

Using these four themes as a framework, the authors developed a survey that was distributed to a range of organisations in their local area. The survey was designed to uncover the views of managers on a number of issues to do with the management of change. While acknowledging the limitations of the survey design, Buchanan and his colleagues draw a number of conclusions from their study.

In terms of managerial implications, they note that the management of continuing change is now more significant than the management of discrete projects and that

change is increasingly driven by forces external to the organisation. Respondents expressed dissatisfaction with the available advice on the management of change and with models of evaluating the effectiveness of change. There was clear support for an approach to change that put a strong emphasis on openness, consultation and communication, as opposed to directive or coercive approaches.

They found that the role of the change agent was poorly defined, understood, recognised and rewarded in many organisations. They also found that most organisations did not provide any form of systematic development in change management expertise for their managers.

The De Montfort group conducted a second survey of managers in 1998 that they saw as building on the findings from the first survey (Doyle, Claydon & Buchanan 2000). In this second survey, the questions were grouped around six themes: communication issues, change evaluation, learning from experience, attitudes and relationships, implementation – theory and practice, and change and continuity.

Managers nominated both positive and negative aspects of their experiences in managing change. The majority of respondents saw the changes they had been through as personally and organisationally beneficial. Virtually all respondents saw that having the responsibility for change was a valuable learning experience and the majority considered theirs to be a learning organisation. Senior managers had a more positive outlook than middle managers and private sector managers were more positive than their public sector counterparts.

On the negative side of the ledger, there were many problems identified with both change outcomes and processes. Some of the negative outcomes were poor communication, increased workload and control, failed attempts at empowerment and flexibility, as well as increased cynicism, fatigue, burnout and self-interest. Negative processes included inadequate employee involvement, lack of planning, monitoring and evaluation of change, inadequate time to reflect on change and to adjust, and lack of systematic management development.

The authors argue that an adequate theory of change must address not only organisational process and context, but also "…the lived experience of those involved in progressing change initiatives, and the pressures, tensions, contradictions and constraints under which they function" (Doyle, Claydon & Buchanan 2000, p.S72).

To further explore the issues raised in these two surveys, Doyle (2001; 2002) selected two large organisations and conducted interviews with 37 staff who had extensive responsibility for planning change strategy and/or a significant involvement for initiating and managing the change process. An important focus of these interviews was the ways that the interviewees were being developed and supported in that change role.

In both organisations, the management of change had become a significant add-on to their normal job role. Many novice change agents were selected because of their operational or professional background and expertise. They did not necessarily have the experience or skills needed in the change management component of their position. The study suggested that organisations need to develop explicit human resource strategies to help change novices become change experts. These should include ways of positively dealing with the emotional and psychological stresses that a number of managers go through in their role of managing change.

The Australian government conducted a major study of management practice and management development in the mid-1990s – the Industry Task Force on Leadership and Management Skills (Karpin Report). One of the studies (Sheldrake & Saul 1995), commissioned as part of the Karpin Report, painted a bleak picture about the competencies of managers to deal with organisational change:

> *It seems patently clear that Australian managers simply do not have a clear and accurate understanding of the major stages involved in implementing significant organisational changes; the critical human issues and challenges to be managed; and the change management processes, competencies, resources and time needed to successfully achieve different types of strategic shifts.*
> *(Sheldrake & Saul 1995, p.669)*

Sheldrake and Saul conducted a survey and one-to-one interviews with senior managers and first-line managers in 19 organisations. They found that the first-line manager's role had an increasing emphasis on leadership, communication, interpersonal and learning

competencies. The main obstacle to change was poor communication from senior management about the underlying reasons for change and about how different aspects of the change process were supposed to be implemented and fit together.

Many of the managers interviewed described the processes of organisational change they had been through as ad hoc and unsystematic. It was rare for an organisation to have a map of the change process that would identify affected people, new competencies required, predictable reactions of people and ways that managers could assist staff through the change process.

Perspectives from the nursing literature

The nursing literature has been consulted in this project because many staff – particularly in high care facilities – are nurses, and their practice is informed by and reflected in the nursing literature. There are a number of articles that discuss the importance of leading and managing change as part of the nurse managers' role (Skelton-Green 1995; Bonalumi & Fisher 1999; Cutcliffe & Bassett 1997; Lancaster 1999; McPhail 1997; Carney 2000; Carney 2004).

> *Managing change is crucial to the survival of every staff nurse, manager, teacher, and administrator in health care today….the reality is that change is occurring rapidly in health care; organizations are being restructured, purchased or sold, reengineered and re-formed. Nurses must learn about change and be able to lead, manage and participate in the process.*
> *(Lancaster 1999, p.149)*

Edwards and Roemer (1996) emphasise that most healthcare organisations are undergoing rapid change and this is particularly influenced by the pressure of changes external to the organisations. In order to deal with this changing environment, managers at all levels must be skilled in scanning, monitoring and forecasting trends in the outside environment and be able to make comprehensive responses to opportunities that arise. In a background paper to the National Review of Nursing Education 2002, Aitken et al (2002, p.417) note that "…the health system is in a constant state of change in a climate of consumerism, risk management, accountability, professionalism and managerialism. All of these environmental variables influence nurses and nursing".

Participants in a study by Jones and Cheek (2003) suggested that the pace of change and lack of resources are contributing to a decline in the number of nurses. “The only certainty apparent from our study, which is in keeping with other studies reported in the literature, is that change is here to stay and managers of nursing and nurses need to work toward dynamic organization and reorganization.” (Jones & Cheek 2003, p.126).

In the context of developing a profile of first-line managers in New South Wales, Australia, Duffield et al (2001) point out that change and uncertainty are often put forward as the most common problems experienced by health care managers around the world. “In Australia changes to funding, organizational structures, consumer expectations and technology combined with a fluid political environment have altered work practices for most health care employees” (Duffield et al 2001, p.786).

Change management in the residential aged care sector

There are a reasonable number of articles published about change programs in the residential aged care sector, although only two studies (Ma 2000a; Madas & North 2000) were found that examined the management of change from the perspective of Facility Managers. There are also very few articles written about the Australian context. This conclusion was reached after searching literature databases such as CINAHL, APAIS, AIMMAT and reviewing back issues till 1996 of a number of journals, including *Australian Health Review*, *Australasian Journal on Ageing*, *Geriaction*, *Journal of Gerontological Nursing and Journal of Nursing Management*. The conclusion was further confirmed by my checking with several academics and senior practitioners, who were not able to identify any additional literature.

A number of studies provide a description of a specific change that was introduced to an aged care facility. These include self-governed teams (Thyen, Theis & Tebbitt 1993), a model of primary nursing care (Laakso & Routasalo 2001), a change in dementia care (Kovach & Krejci 1998), nursing diagnosis (Rantz & Miller 1987), a psychosocial treatment model (Boyd, Luetje, & Eckert 1992), and an assisted living model of care (Newlin 2000).

Another group of studies (Riter 1994; Wagner & Colling 1993; Carlisle 1993; Deutschman 2001) discuss the prevalence of change in the sector and then lay out some principles and strategies to help effectively manage this change environment.

If these studies provide any theoretical explanation of change management it is usually a planned approach – such as Lewin's three-phase model of unfreezing, moving and refreezing. One exception to this is a study by Chenoweth and Kilstoff (2002) that took an action research approach to facilitating organisational change. These authors worked with residents, family members and staff from three aged care facilities over three years to explore ways to improve practice and care standards.

Apart from the survey by Ma (2000a) referred to in Chapter 1.1, the only other residential aged care study located that examined the views of Facility Managers was that by Madas and North (2000). These authors conducted a postal survey of 45 aged care Facility Managers in one region in New Zealand. The aim of the survey was to explore the attitudes of Facility Managers about the main problems facing management and appropriate strategies to deal with these problems.

The survey found that a minority of Facility Managers had any form of management qualifications. The most important issues nominated by managers were inadequate funding to match the growing costs of providing care and occupancy levels. Political/regulatory, economic and social factors were seen as the main factors impacting on these issues. Facility Managers' positions were considered to have become more challenging, as well as requiring frequent upgrading of skills and industry networking.

Conclusions

The following conclusions are put forward with an acknowledgement that they are based on a field of literature that is not extensive, as explained at the beginning of the chapter.

- In the context of all the literature on the management of change, very little of this has explored the perspectives of managers themselves.
- Research on change management tends to focus on the formal, stated objectives of the program and ignore how managers and other stakeholders actually experience the change process.
- It is common for the managers' roles as change agent to be poorly understood and recognised within their organisations.
- The selection and development of managers does not typically include consideration of their role as change agents.
- Within the nursing literature, the management of change has been recognised as an important issue that nurse managers must develop an awareness of and competence in.
- Within residential aged care, there are a number of studies that have reported on specific change initiatives. Most of the literature is based on a rational linear model of change, typically using models such as Lewin's three-phase model of change.

Chapter 3: Methodology and methods

3.1: Methodology

Introduction

The purpose of this first section of Chapter 3 is to make explicit the methodology (not methods) underlying this thesis. I begin with a brief exploration of the nature of the research questions. I then go on to describe the primary methodology as constructivist, with a secondary influence of critical theory and explain this choice. I discuss the need for reflexivity in the research process and make a statement of my experience and values that may impact on how I construct answers to the research questions. I finish the section with a consideration of how to assess the quality of this approach to research. The actual methods used in the research will be discussed in the following section – 3.2.

The nature of the research questions

The purposes of the research questions are to gain an understanding of the experience of Facility Managers and to develop a set of proposals to assist in the management of change within the residential aged care sector. The nature of the project is not to discover causal relationships or even simple explanations, but to gain an in-depth and multifaceted understanding of a complex area of professional practice.

Constructivism as the principal methodology of choice

Constructivism is a form of inquiry that is based on ontological pluralism. This means it assumes there is no single or objective reality. Instead, realities are based on individual and social constructions, which are alterable, as are their associated 'realities' (Guba & Lincoln 1998). In differentiating constructivism from other forms of inquiry such as positivism, post-positivism and critical theory, Guba and Lincoln (1998) suggest that the inquiry aim is based on understanding and reconstruction; the nature of knowledge involves individual reconstructions and a coalescing around consensus; knowledge

accumulation is built up from more informed and sophisticated reconstructions and vicarious experience. The values of the researcher are included and formative; and the voice of the researcher is of a 'passionate participant' and a facilitator of multi-voice reconstruction.

Schwandt (1998) uses the terms constructivism and interpretivism together as general descriptors for a loosely coupled family of methodological and philosophical persuasions. "Proponents of these persuasions share the goal of understanding the complex world of lived experience from the point of view of those who live it" (Schwandt 1998, pg. 221). Schwandt points out that a common theme in constructivism is the social and dialogic nature of inquiry. This requires attending both to the inquirer's own self-reflective awareness of his or her own constructions and to the social construction of meaning that occurs in the interaction.

While constructivism has its roots in the various forms of interpretivism that developed in the late 19th and early 20th centuries (Schwandt 2000), the work of Berger and Luckmann (1966) is regarded as "the main manual of the constructionists-to-be" (Czarniawska 2003, p.128). The purpose of Berger and Luckmann's treatise was a sociological analysis of everyday life. One of their main observations was that social phenomena are not 'factual' and independent realities but are constructed through interactions between people within society. This is not clear to people because they have gone through a process of objectifying these interactions and then internalising them again as if they were objective realities.

In discussing the different approaches to constructivism, Flick (1998) suggests that

> *The several varieties of social constructivism and constructionism……start from the idea that realities are actively produced by the participants through the meanings ascribed to certain events and objects and that social research cannot escape these ascriptions of meaning if it wants to deal with social realities.*
> *(Flick 1998, p.31)*

Constructivism is a very broad term that includes a number of different theoretical perspectives. Czarniawska (2003) cites Hacking (1999) who discusses the range of theories under the umbrella of constructionism in terms of 'grades of commitment'. The grades refer to the degree to which the approach critiques the subject matter. Hacking

describes these different grades of commitment as historical, ironic, reformist and unmasking, rebellious and revolutionary.

In terms of the current project, the aim is to gain an understanding of change management theory and practice relevant to the residential aged care sector, with a view to helping managers in that sector to manage change most effectively. Understanding will emerge through dialogue and the interchange of multiple perspectives. There will not be a final 'right' answer or understanding. What is perceived as the 'best' answer will be contingent on a range of socio-political, cultural and historical factors. In some cases there will be a consensus about the 'best' answer; in other cases there will be a range of views co-existing. A constructivist approach is appropriate because it will allow me to consult with a range of practitioners and use their accounts to build this understanding. It does not seek the one 'correct' answer but is tolerant of multiple perspectives.

A secondary influence on the methodology

A secondary component of the methodology I have chosen for this project is based on critical theory. Carr (2000) suggests that the term 'critical theory' can have two meanings. It can refer to a particular 'school of thought' (the Frankfurt school) or, more generally, to self-conscious critique that is aimed at change and emancipation through enlightenment, without being tied to a particular school of thought. I am using the term in the second, more general, sense.

Critical theory is explicitly political. It moves beyond the interpretive approach because it is not satisfied with simply understanding people and society, but seeks to realise a society based on equality and democracy for all its members (Alvesson & Deetz 1996; Carr, 2000). Critical theory suggests that much social research is trivial at best and counterproductive at worst because it simply provides an understanding of an existing, inadequate system, rather than questioning or improving it. Critical theory is concerned with exposing the role of power in social relations and bringing about social justice (Alvesson & Wilmott 1996).

The reason I have included critical theory as one aspect of my methodology is because I am only interested in research that at least has the potential to improve conditions for people I am researching. My primary motive in this project is to improve the quality of life of people residing in nursing homes and hostels. There is an underlying assumption that this is likely to happen if staff in charge of these organisations are well trained and resourced to manage the many changes that their sector is undergoing.

A second aspect of critical theory is that I do not want to simply gain an understanding of managers' experience and present that in a way that unquestioningly reflects the status quo. There are many structural, financial and workforce issues that impact on the experiences of managers in the residential aged care sector. I see it as important to acknowledge and take account of these issues in constructing an overall understanding of the issues.

The commitment to critical theory has been put down as a secondary influence rather than being the primary methodology because the primary motive of the study is to improve conditions rather than overthrow or abandon an existing situation. This approach would be aligned to the version of constructivism that Hacking has described above as 'reformist and unmasking'.

Constructivism within organisational studies

Czarniawska (2003) suggests that the vocation of social constructivism is to reveal how the taken-for-granted becomes taken for granted. In organisation studies, its role is in 'unmasking' – revealing what has been forgotten or not paid attention to. Thomas and Linstead (2002) suggest that social constructionism aims to understand phenomena through the 'lived experiences' of persons going through the phenomena: "The aim is to represent the actor's construction of their lived experiences so as to give them voice in the research process and to maintain context" (Thomas & Linstead 2002, p.76)

Doolin (2003) describes three main approaches to the study of organisational change: managerialist, processual, and social or discursive. Drawing on the work of Heracleous and Barrett (2001), Doolin suggests there are three variations within the discursive

approaches. These are functional, interpretive and critical perspectives on discourse. The interpretive perspective could also be described as constructivist, as this approach "…sees language as a symbolic medium through which social reality is constructed." (Doolin 2003, p.755). Studies he includes under this grouping include those that use stories, narratives, metaphors and humour in constructing meaning in organisational change. Authors of such studies include Boje (1991), Gabriel (2000), Czarniawska (1998), and Czarniawska and Sevon (1996).

Accounting for myself within the research process

Part of the constructivist methodology is that social researchers need to maintain a high degree of self-awareness and to understand how this can influence their own constructions and the social construction of meanings that they put forward (Guba & Lincoln 1998). Researchers need to be able to demonstrate reflexivity in their writing – an acknowledgement of their history, personal investments in the research, biases they bring to the work, surprises they have had during the process, how they have chosen literature to use and how they have supported some and suppressed other points of view (Gergen & Gergen 2000).

Some of the key aspects of my experience, worldview and values that I bring into this research project are outlined below:

- my professional training and experience as a registered nurse with some direct experience working in the research setting
- my previous academic background in anthropology, social theory and counselling
- my values-based agenda for conducting this research – to find ways to support staff and thereby improve outcomes for residents
- my belief in the importance of research having practical outcomes
- my belief that the sector is under great strain and that people working in it are in need of support
- my belief that good practice should be based on a combination of evidence of effectiveness, the rights of residents, the views of experienced practitioners, and the resources available to an organisation

- my belief that the concept of evidence should be extended beyond the dominant view in the health sector as only being found in randomised controlled trials to include the richness of understanding that can be found in qualitative research
- my belief that professional practice is a complex phenomenon that cannot be understood by simple linear explanations but needs to be understood as multidimensional and in situ
- my belief that issues to do with care of older people should not be seen in only individually or clinically-oriented perspectives. Rather it is necessary to see issues of care within a broader context that encompasses at least political, social, historical, cultural and economic perspectives.

Another aspect of reflexivity is how researchers actually represent the positions of themselves and of the persons who are being researched. While the written account tries to represent the 'voice of the researched', it is clear that the way the material is written up and which texts are chosen to feature are determined by me as the researcher. To that extent, it is my voice that is attempting to represent the voices of those interviewed as faithfully and transparently as possible. Rather than intimating that I am speaking for them, I see my research as attempting to describe as transparently as I can the conversations with the people interviewed. Any insights that arise from the research are therefore constructions based on the interactions between myself and those persons.

Assessing the quality of my research

It is important to reflect on what criteria I have used to assess the worth and value of the research. This needs to be addressed because constructivism does not lend itself to the traditional criteria used in quantitative research, such as validity, reliability, objectivity and generalisability.

Smith and Deemer (2000) explain how the traditional view of science was that knowledge is a matter of accurate representation. Method allowed for undistorted contact with reality and was therefore the basis for distinguishing good from bad inquiry. This view was opposed by a number of authors who have challenged the ability of method to provide such a criteria. Instead, they made it clear that any claim of or

hope for 'theory-free knowledge' was untenable. Smith and Deemer cite the examples of Putman (no God's-eye point of view), Nagel (no possibility of a 'view from nowhere'), Bernstein (no 'Archimedian point'), Taylor (undermining of the hope for access to 'brute data'), and Gadamer (discussion of 'effective history').

> *In the end, the result of all this intellectual ferment was the elaboration of a number of points of great consequence for any discussion of criteria: There is no possibility of theory-free observation and knowledge, the duality of subject and object is untenable, no special epistemic privilege can be attached to any particular method or set of methods and we cannot have the kind of objective access to an external extralinguistic referent that would allow us to adjudicate from among different knowledge claims. (Smith & Deemer 2000, pg. 879).*

In the absence of absolute criteria for establishing the quality of research, one response may be to abandon any attempt to set criteria. However, such nihilism provides no useful framework for the researcher and there needs to be some way of distinguishing poor and good quality social inquiry. Because these criteria cannot be based in epistemology, it is necessary to include other forms of criteria. The areas typically used by authors are practical, moral and social criteria. A number of authors have proposed lists of criteria or characteristics of good quality research. It is important to restate that none of these are final or complete. There will be ongoing dialogue and interchange of views about what needs to be included in such lists.

Hammersley (1992) suggests good studies are ones that can: generate substantive and formal theory; be empirically grounded and scientifically credible; produce findings that can be generalised or transferred to other settings; and be internally reflexive in terms of taking account of the effects of the researcher and the research strategy on the findings that have been produced.

Criteria proposed by Mason (2002) suggest that qualitative research should:

- be systematically and rigorously conducted
- be accountable for its quality and its claims
- be strategically conducted, yet flexible and contextual
- involve critical self-scrutiny by the researchers, or active reflexivity
- produce explanations or arguments, rather than just description
- produce explanations or arguments which are generalisable in some way, or have demonstrable wider resonance

- not be seen as a unified body of philosophy and practice
- be conducted as a moral practice and with regard to its political context.

Devers (1999) describes Lincoln and Guba's criteria for establishing the 'trustworthiness' of findings from studies using qualitative methods as: credibility, transferability, dependability and confirmability. Lawler (1998) suggests a number of core features of qualitative research that should all be explicitly reported: description of the dataset; researcher's credentials, personal agenda and background; style and language use; coherence and veracity; and use value and applicability. According to Gaskell and Bauer (2000) good qualitative research includes the following criteria: triangulation and reflexivity, transparency and procedural clarity, corpus construction, thick description, local surprise, and communicative validation.

I am proposing a number of criteria to assess the quality and worth of my own research effort. Development of these criteria has drawn on common themes expressed by the above authors. It also reflects the constructivist approach I have followed and significant aspects of my worldview, as expressed above.

The key criteria I am using for assessing the quality of my research are:

- transparency and detail of all aspects of the project
- a well explained methodology that is appropriate for the research questions
- well explained methods that are in alignment with the methodology and appropriate for the research questions
- sufficient detail and explanation of how the analysis was conducted
- connection and consistency between the questions, methodology, methods, analysis and conclusions
- a clear statement of ethical issues and demonstration of how these have been followed
- self-reflexivity that is demonstrated by the researcher
- research findings that have at least the potential for wider resonance for practice.

3.2: Methods

Introduction

The purpose of this section of Chapter 3 is to provide details of the methods I used to conduct the research project. It explains and justifies the use of semi-structured interviews. It explains how I developed from the literature a set of criteria for conducting interviews that I used during the research. A full explanation is given of how interviews were organised and conducted. Several different approaches to sampling were used in the project and these are all explained. Two different samples were used – one of Facility Managers and another of senior stakeholders in the industry. Details of the interview participants in both samples are provided. A detailed explanation is given of my approach to analysis, with the specific approach being defined as thematic analysis. The section concludes with a discussion of ethical issues associated with the project.

Interviewing

Reason for interviews

One-to-one interviewing was chosen as the primary method for this project because it is in keeping with the overall constructivist methodology, which aims to develop an understanding of an issue through the blending of multiple voices. Quine (1998) says that face-to-face interview is used when there is a need to motivate a person to respond freely, explore an issue fully, probe further into responses including beliefs, feelings and attitudes and adapt questions to each informant.

Format of interviews

The interviews were of a semi-structured format. It is common to describe interview format along a continuum of structured, semi-structured (or focused) and unstructured (Quine 1998; Minichiello et al 1995). Structured interviews usually have pre-set questions, often of a closed nature, with the interviewer asking the same questions of all interviewees. There is no opportunity for the interviewee to express views outside the

framework of the set questions. Importantly, the interviewer does not process the answers during the interview and adapt subsequent questions. This approach to interviewing is most suitable to large-scale surveys where there is an interest in consistency and uniformity.

On the other extreme, unstructured interviews have minimal prompts from the interviewer and are more akin to everyday conversation. The content and depth of the interview are determined much more by the interviewee than in the structured approach. Unstructured interviews are most suitable for researching the experience of an individual in detail, especially if there will be a number of interviews over time.

In between these two extremes, semi-structured interviews allow freedom of discussion within the framework of an interview schedule. Usually the researcher has a small number of questions that they want answered. They will not ask the questions in exactly the same way or the same order each time. There will be some flexibility to go off on tangents to explore interesting issues that arise during the interview.

The semi-structured format was used in this project because I wanted people to freely express their own ideas within a general framework of inquiry set by me. I developed an interview schedule that provided an overall structure for the interviews. There were slight variations in the questions for the two samples and both schedules are attached as Appendices 1a and 1b.

Approach to interviewing

By referring to a number of resource documents about qualitative interviewing (Cohen, Manion & Morrison 2000; Kvale 1996; Minichiello, et al 1995; Quine 1998; Glesne & Peshkin 1992; Holstein & Gubrium 2002; Kaufman 1994), I developed a set of what I considered to be criteria of successful interviewing and I used this as a guideline in planning and conducting the interviews. This set of criteria is attached as Appendix 2.

Once the sample was selected, prospective interviewees were contacted by telephone and had the project explained to them. They were offered the opportunity to be sent an

Information Sheet about the project by fax or email. The Information Sheet was also given to all persons at the time of interview. A copy of the Information Sheet is attached as Appendix 3.

To help gain access to the field and provide some form of introductions to myself and the project, I obtained general letters of introduction from the Chief Executive Officers of the two main industry peak bodies in New South Wales (Aged and Community Services Association and the Australian Nursing Home and Extended Care Association). These letters expressed an awareness of, and confidence in, my work and encouraged managers to participate in the project. These letters were either sent out to interviewees in advance or given to them at the time of interview. Copies of the letters of introduction are included as Appendices 4a and 4b.

The site and time of interviews was chosen by the interviewees. All interviewees except one elected to be interviewed at their workplace. They were asked for an uninterrupted 90 minutes of time. The average interview time was 70 minutes over the course of the project with several extending to 90 minutes and several lasting around 45 minutes. Interviews were set up on a once-only basis but at the time of interview, people were asked if they were happy to be recontacted by email or telephone if any issues arose after the interview that I felt would be useful to follow up with them.

All interviewees signed two copies of a consent form, with the researcher keeping one and the interviewee keeping one. A copy of the consent form is attached as Appendix 5. Interviewees were asked for permission for the interviews to be tape-recorded and all persons agreed to this.

All interviews were tape-recorded and fully transcribed. The researcher did several transcripts while most were done by a contract transcriber. For those interviews transcribed by the contractor, the researcher checked the full transcript while listening to the tape-recording so that any corrections could be made or explanatory comments added that would only be known to the interviewer.

After the transcript was checked by the researcher, a copy was sent to the interviewee. This was done to provide them with some feedback to the process and give them an opportunity to clarify or add to anything that had been said in the interview. Several interviewees took this opportunity by contacting the researcher by email with some ideas that occurred to them after the interview.

Sampling

There were two separate samples for the project. The first consisted of 20 Facility Managers of residential aged care homes. The second sample was 19 people who were considered to be senior stakeholders in the industry. The first sample was intended to provide input directly from the group that the project was largely focused on i.e. Facility Managers. The second sample was used to provide a 'bigger picture' of the issues involved by getting input from a diverse range of senior figures in the industry. Each sample will be discussed in turn below.

Sample of Facility Managers

The first three interviews were done with Facility Managers that I knew professionally and felt would have constructive input to the interview topics. These interviews were used to test and refine the interview schedule. The managers were from aged care homes in three different parts of Sydney. The remainder of the sample of Facility Managers was a quota sample, described by Cohen, Manion and Morrison (2000) as the non-probability version of stratified sampling. It strives to represent significant characteristics of the population within the sample, although participants are not randomly selected from the whole population. In this case, I selected a range of facilities from four geographical areas in terms of facility size, whether they were predominantly high care or low care and type of ownership.

The number of interviews required in qualitative interviews is not as clear-cut an issue as it is in quantitative research. Quine (1998a) suggests that as a rule of thumb, after 20 interviews new ideas are unlikely to emerge. The point is to keep interviewing until one

is satisfied a ‘saturation point’ has been reached – when interviews are just giving more of the same data that has already been collected (Charmaz 2000; Quine 1998a).

Qualitative research does not aim to make statistically significant generalisations. However, I was keen to get a reasonable cross-section of views rather than have personalised in-depth interviews with a small number of people (for example, four to six). I set out to get 16 interviews to start with and found that there were still new insights and experiences being expressed by the interviewees. Consequently I extended the number to 20, at which point I felt a reasonable point of saturation had been reached.

Facilities were drawn from four geographically dispersed areas, as defined by Area Health Service (AHS) boundaries. The four areas were chosen to get a range of socio-cultural areas. They were the Liverpool/Fairfield district of the South Western Sydney AHS, Hornsby/Ku-Ring-Gai district of Northern Sydney AHS, the Inner West district of the Central Sydney AHS and the Macquarie AHS. The first three of these are in different parts of Sydney and the fourth area is in a rural setting in the Central West of New South Wales.

Lists of all the aged care homes in each area were obtained and homes chosen from the list. While each choice was made randomly, the sample was not a strict random sample. Because there was only a small number to be chosen from each area, I was keen to get a cross-section of homes in terms of: private and not-for-profit; low care and high care; and less than and greater than 50 beds. This meant that after the first 2-3 choices, if another home was chosen that had the same characteristics, I would discard that one and randomly pick another home.

Most people contacted were quite willing to be involved in the project. In several cases, the Facility Manager was on leave or unavailable for a long period and in several other cases, the person decided not to participate. When this happened, another home was chosen from the list until the required number was reached. This process allowed me to get a reasonable spread of facility types as outlined in the Tables 5-7.

Table 5: Ownership of aged care homes from Facility Manager sample

Provider type	Number
Private	7
Church and Charitable	9
Community-based	2
Government	2
TOTAL	**20**

Table 6: Size of aged care homes from Facility Manager sample

Number of places (beds)	Number
1-40 places	7
41-80 places	9
80+ places	4
TOTAL	**20**

Table 7: Level of care offered by aged care homes from Facility Manager sample

Level of care	Number
Primarily high care	10
Primarily low care	5
Ageing in place	5
TOTAL	**20**

These proportions are generally in keeping with proportions in the overall industry, as illustrated in Tables 1-4 in Chapter 1.1. This, together with the fact that the sample was drawn from four different geographical areas, means that it represents a reasonable cross-section of the industry. The length of time the interviewees had worked in aged care is recorded in Table 8. In terms of the length of time people had been in their current positions, 11 had been there 0-5 years and the other nine had been there 6-10 years.

Table 8: Length of time Facility Managers had worked in aged care

Length of time	Number
0-5 years	2
6-10 years	8
11-15 years	3
16-20 years	3
21+ years	4
TOTAL	**20**

Industry Stakeholder sample

This sample was initially 'purposive' and then 'snowball'. Purposive sampling occurs when the researcher selects a sample that will help answer the research question, for example recognised experts in a field, or people who have undergone a particular experience that is being researched (Creswell 1998; Cohen, Manion & Morrison 2000; Quine 1998a). The initial purposive sample included senior members of industry peaks, professional organisations and government departments involved in workforce development. These people were chosen on the basis of having a broad knowledge of current policy and practice within the sector.

Snowball sampling occurs when it is not clear from the start who all the relevant people are in a population that will be useful to interview. An initial group of people are identified and on the basis of their expertise and networks they are used to give information about who else could be included. These recommended people are then included in the sample. This is a useful approach because it prevents the researcher from restricting the scope of their sample or shutting off lines of inquiry prematurely (Quine 1998a; Miniciello et al 1995; Cohen, Manion & Morrison 2000).

This approach to sampling was used with the Industry Stakeholder group. I asked each person I interviewed who they thought would provide useful input to my research. If a person was recommended by at least two of the people I interviewed, I then included that person in my sample. The Industry Stakeholder sample ended up including a number of the most senior, knowledgeable and influential persons in the sector in New South Wales. The only group that I was not able to include was government policy personnel, as a formal request for interview was declined by the Department of Health and Ageing. The background of people in the Industry Stakeholder sample is set out in Table 9.

Table 9: Background of interviewees in Industry Stakeholder sample

Background	Number
CEOs or senior executives of provider peak bodies	4
CEOs or senior executives of for-profit providers	2
CEOs or senior executives of not-for-profit providers	7
Management consultants in aged care	2
Trade union officials	1
Officials of professional associations in aged care	2
Academics in aged care	1
TOTAL	**19**

Analysis

Analysis is that part of the research project that involves explanation and interpretation of data in an attempt to provide answers to the research question. Within quantitative research, analysis may be complex but it is largely based around the application of statistical formulae to numerical data. These formulae have a number of widely-accepted conventions associated with their use and interpretation.

Analysis within qualitative research is non-numerical in nature and not based on the use of statistics. In as much as there are many traditions in qualitative research, there are also many different approaches to analysis. While there are variations in how analysis is undertaken, there are several principles that are common to these different approaches (Gifford 1998; Marshall & Rossman 1999; Glesne 1999). The first of these is that analysis begins from the start of the project – in contrast to quantitative research where analysis only begins after all the data is collected and 'cleaned'.

A second principle is that analysis is iterative, in that it involves an ongoing review of understandings, which are tested out and further reviewed as the project unfolds. A third principle is that the strength of conclusions are not based on statistical conventions but on other criteria such as the thoroughness and transparency of the explanation of the analysis, the appropriateness of the analysis within the research design and the degree of self-reflexivity that is demonstrated by the researcher (Marshall & Rossman 1999; Gaskell & Bauer 2000; Mason 2002)

Deciding on a particular approach to analysis is difficult because there is not even a standard way of describing and defining the different approaches to analysis in the qualitative research literature. Several frameworks for defining approaches to analysis are outlined below.

Flick (1998) differentiates two basic strategies for the interpretation of texts: one uses coding to categorise and/or develop theory; and the other focuses on the sequential analysis of the text with the aim of reconstructing the structure of the text and the case involved. Under the former strategy, the approaches to analysis that Flick discusses are theoretical coding, thematic coding, qualitative content analysis and global analysis. Approaches he includes under the heading of sequential analysis are conversation analysis, discourse analysis, narrative analysis and objective hermaneutics.

In explaining different approaches to analysis, Ryan and Bernard (2000) use as a starting point the distinction between the linguistic tradition and the sociological tradition. The former focuses on the text as the actual object of analysis, while the latter uses the text as a vehicle for explaining human experience. Approaches to analysis they include under the linguistic tradition are narrative analysis, conversation (or discourse analysis), performance analysis and formal linguistic analysis.

Within the sociological tradition, Ryan and Bernard differentiate two kinds of texts – ones that are focused on specific words or phrases and ones that are based on free-flowing text. Approaches to analysis they discuss for the first of these are componential analysis, taxonomies and mental maps. Analysis of free-flowing texts may use the text directly or may reduce the text to a system of codes. Approaches to analysis mentioned by Ryan and Bernard that use text directly are key-words-in-context, word counts, semantic network analysis and cognitive maps. Approaches that rely on coding of text are described as grounded theory, schema analysis, classical content analysis, content dictionaries, analytic induction and ethnographic decision models.

Marshall and Rossman (1999) cite the work of Crabtree and Miller (1992) who present a continuum of analysis strategies. At one end of the continuum ('Prefigured technical') are technical, scientific and standardised strategies. The researcher takes an objectivist

stance to the project and analysis is based around a set of predetermined categories. On the other end of the continuum ('Emergent intuitive') there are immersion strategies that do not use pre-determined categories but rely on the researcher's intuitive and interpretive skills.

There are two other points described on this continuum – template analysis and editing analysis. Template analysis sits closer to the prefigured technical end of the continuum. While this approach relies on sets of codes, these are flexible and may be revised during the process of analysis. Editing analysis is less prefigured and is based on the researcher locating references in the text that they can allocate categories of meaning to. Describing the most common approaches to qualitative analysis used in public health research, Gifford (1998) lists taxonomic analysis, thematic analysis, content analysis, ethnographic content analysis and event structure analysis.

Data analysis is defined by Miles and Huberman (1994) as consisting of three concurrent flows of activity: data reduction, data display, and conclusion drawing / verification. Data reduction refers to the process of selecting, focusing, simplifying, abstracting, and transforming the data that appear in written-up field notes or transcripts. Data display is an organised, compressed assembly of information that permits conclusion drawing and action. Looking at displays helps us to understand what is happening and to do something – either analyse further or take action – based on that understanding. The displays discussed in their book include many types of matrices, graphs, charts and networks.

Conclusion drawing and verification are gradual processes that occur as the researcher is beginning to decide what things mean – is noting regularities, patterns, explanations, possible configurations, causal flows and propositions. Conclusions are also verified as the analysis proceeds. These three streams can be represented as in parallel or in an interactive, cyclical model with the researcher shuffling back and forward between the different nodes during the project.

Marshall and Rossman (1999) describe six phases of typical analysis procedures:

- organising the data

- generating categories, themes and patterns
- coding the data
- testing the emergent understandings
- searching for alternative explanations
- writing the report.

Glesne (1999) describes the process of data analysis in this way:

> *Data analysis involves organizing what you have seen, heard, and read so that you can make sense of what you have learned. Working with the data, you describe, create explanations, pose hypotheses, develop theories, and link your story to other stories. To do so, you must categorise, synthesise, search for patterns and interpret the data you have collected.*
> *(Glesne 1999, p.130)*

Explaining my approach to analysis

From the brief discussion above, it is clear that there are many ways of understanding and describing the process of analysis within qualitative research. In deciding which approach to use, two important considerations are that the analysis should firstly be consistent with the underlying methodology of the project; and secondly be appropriate and useful for answering the research question(s).

The underlying methodology of this project is constructivism. It is concerned to develop an understanding of an aspect of professional practice. It is not aimed at discovering a single answer or 'truth' about this practice, but building up or constructing an understanding based on the experiences, ideas and beliefs of a number of participants in the area of professional practice.

In terms of the distinction between the linguistic and sociological traditions of analysis described by Ryan and Bernard (2000), my approach is within the sociological tradition. My interest in the text is what it can tell me about the experiences, ideas and beliefs of the interviewees, rather than a detailed understanding of the text per se.

While the approach to analysis I am using is not strictly in accord with any specific approaches discussed in the literature, the closest is thematic analysis. In describing thematic coding, Flick (1998) says:

> *The theoretical background [of thematic coding] is the diversity of social worlds as assumed in the concept of social representations or more generally by constructivist approaches. Research questions focus on the analysis of the variety and distribution of perspectives on issues and processes in social groups. Cases are involved for specific groups. In addition, elements of theoretical sampling are used in the selection in the groups. Data are collected with methods that combine structuring inputs and openness with regard to contents…Generalization is based on comparisons of cases and groups and aims at development of theory.*
> *(Flick, 1998, pg 192)*

Gifford (1998) suggests that thematic analysis involves uncovering the common patterns or threads within a complete set of data. "Themes are often identified not by the specific content items in a set of data but by the more general concepts that emerge and give the set of data meaning." (Gifford, 1998, pg 546)

In relation to the continuum of Crabtree and Miller (1992) discussed above, my approach would sit in between the two approaches they call template analysis and editing analysis. The interviews were semi-structured, and had a number of questions that formed the framework for the interview. Analysis had a certain amount of coding structure pre-determined by these different questions. However, within the framework of this structure, there was still opportunity for new categories and themes to emerge during the analysis.

My description of thematic analysis is that it interrogates the data in terms of the original research questions. It is interested in how each person responded to the different interview questions and how different people responded to the same questions. It is interested in seeing what degrees of similarities and differences there are in the responses, what connections there are between different responses and what explanations there may be for these connections. It is interested in starting with a simple description of the data then moving to a 'thick description' which allocates some meaning or interpretation to the text which, in turn, provides insight to the original research question. These insights can be considered in the context of literature related to the research question, for example does it confirm, oppose, add to the existing literature?

Thematic analysis is based on breaking down (reducing) the text and this often occurs through the use of coding systems. In this project, there was a certain coding structure implicit in the interview questions as well as a lot of iterative coding that emerged from reading and rereading the transcripts, reflections and memos recorded over the life of the project. After this process of reduction, the data is reconstructed in light of the interpretations, theoretical propositions and connections to the literature that have emerged in the analysis.

Details of my approach

- All interviews were tape-recorded.
- All tapes were fully transcribed.
- I read through each transcript while listening to the tape of the interview to check the accuracy of the transcripts. At this time I noted any preliminary reactions to the interviews.
- Several new questions were added to the subsequent interviews based on material that emerged in the early interviews.
- Full transcripts were sent to interviewees with an invitation to follow-up with any further thoughts or clarifications.
- Reflections based on the literature and interviews were recorded in my journal throughout the project, although coding was not commenced till after all interviews were completed.
- I listened to a number of tapes fully to get a general feel for the data and noted down issues and themes at that time.
- I went through all 39 interviews and coded content in terms of the questions within the interviews. This was not totally linear, as people may have answered one question in different parts of the interview. This produced the first set of nodes.
- A full node report for each node was printed out with some reports being 70 pages long. I read through each node report twice and made notes in margins about recurring issues, themes, connections within and between nodes.
- I developed a second level of coding on each of the original nodes. The coding patterns for each node were of a different nature – depending on the question. In some nodes, the new codes were mainly about strength of response and fairly

straightforward. In other nodes there were a number of layers that the data could be seen from and so the new coding was more multi-layed and complex. A full list of the codes used in the analysis is reproduced in Appendix 6.

- The full set of codes was used to review all interview transcripts and to develop a set of themes most prominent in the interview data.
- These themes were used to structure a draft report on each of the research questions. The draft report aimed to outline the themes, make references to relevant literature and suggest conceptual models that explained the relationships between themes and the literature.
- All the interview transcripts were re-read in the context of the draft report to see if any important issues or themes had been missed or were over-stated in the draft report.
- After several drafts, the final reports were written as the following chapters in this thesis.

The use of computer software

I used the NVivo software program (Bazeley & Richards 2000) for the storage, organising and retrieval of interview transcripts and other data. This assisted analysis by providing greater speed and flexibility in revising codes, adding new codes and coding on multiple levels.

Kelle (2000) outlines some of the potential methodological benefits of using computers as an aid in qualitative analysis. Benefits are that it can save time and assist the management of large samples; can make the process more systematic and explicit and therefore more transparent; and can help the researcher by allowing creative and wide-ranging interrogation of the text.

The main danger is that the structure of the computer program will come to dominate and blunt the analytical thinking process that underpins constructivist research. Minichiello et al (1995) warn that relying too much on the computer can make the analysis superficial – the computer can invade the researcher's conceptual territory and influence unduly the direction of the analysis process.

I maintained a high awareness of these potential dangers in using this software. I used the program for the benefits of data storage, efficiency in retrieval of the data and the ability to apply multiple codes to one set of data. In analysing the data, I used mainly printed node reports so that I could work independently of the computer. I also avoided using the full potential of the program in terms of its search capacity and model building so that I did not become overly focused on the structure of the program.

Ethical issues

Formal ethics approval for the project was sought and gained from the University of Technology, Sydney and also from the Central Sydney Area Health Service (Concord Hospital Ethics Committee) where I was employed while conducting the research. The main ethical issues that I considered important in this project are outlined below.

Usefulness or value of research

It was important to ensure the research questions were well conceived and had not already been well answered. In part this is not to waste the time and effort of participants who are interviewed in the research. This research had not been done already and it had the potential to provide important insights of use to the sector being investigated.

Quality of data collected

As most of the data was to be based on face-to-face interviews, I was aware of how important it was that the interviews provided a good range and depth of information. I spent considerable time before starting the interviews in developing criteria that would help me to achieve this range and depth of information. These criteria – attached as Appendix 2 – were used as a quality standard in planning and conducting the interviews. A transcript of the interview was sent to each interviewee to ensure their views had been properly and fully represented and to give them the opportunity to correct or add to the data.

How to represent the participants in the research

Researchers need to be aware of how they represent the views of the people being researched (Clegg & Hardy 1996). Are they 'putting words into the mouths' of the subjects of the research? Are they making out they can speak for these subjects? Do the people being researched have any role in the outcomes of the research? As explained in the previous chapter, I have not set out to speak for the people being interviewed. I have seen them as experienced managers who can share experience and insights with me and help me build up an understanding of a particular issue in professional practice.

Confidentiality and non-disclosure of individuals and organisations

A formal confidentiality agreement was made with each interviewee, making clear that their views would not be repeated in any form to a third party. The writing up of the thesis would be done in a way that ensured no individuals or organisations could be identified without their express written permission. Interview transcripts were de-identified so the identity of the interviewees was known only to the researcher. All fieldnotes and computer files were securely maintained and stored by the researcher.

Permission to tape interviews

I set out to audiotape all interviews. However, I was sensitive to the circumstances of each situation and only did so with the written approval of the participant. Interviewees were told they could stop the tape at any time if they wanted to say something without it being recorded.

Chapter 4: The experience of Facility Managers: themes constructed from interviews, discussion and conclusions

4.1: Introduction to Chapter 4

The four research questions on which this thesis is based have been grouped together in this chapter because the answers to these questions derive primarily from the interviews that were conducted within the project. The following chapter, on the relevance of change management to the residential aged care sector, draws on the extensive literature review as well as the outcomes of the interviews.

The process of analysis undertaken in this project has been described in Chapter 3.2: Methods. The results of this analysis are documented in the remaining sections of this chapter. In keeping with a constructivist methodology and a thematic analysis, this documentation does not involve a quantitative representation of how many people answered each question in specific ways. Rather it documents the overall themes that I constructed from a thorough and frequent immersion in the views expressed by the research participants.

Each section will focus on one of the four research questions. It will present the main themes from the interviews and a discussion of these. Again, in keeping with a constructivist methodology, there are not watertight boundaries between the presentation of the themes and the discussion, in the way that quantitative research will typically present results and discussion. The discussion will focus on issues that are interesting or novel in the themes, how these relate to relevant literature and how they may help in answering the research question. Rather than presenting conclusions within each section, there will be a general conclusion for the whole chapter in section 4.6 as there is some overlap in the themes and discussions raised in each of the preceding four sections

4.2: How is the role of managing change perceived and understood within the overall role of Facility Managers?

Introduction

The first research question has two parts – "How is the role of managing change perceived?" and "How is it understood?" The section begins with a brief account of how the role is perceived, and the rest of the section is devoted to the question of how the role is understood.

Focusing on how the role is understood, the main themes that have been constructed are:

- the change management role allowed and expected of Facility Managers by their organisations
- personal attitudes to change by Facility Managers
- change is just part of the job, so we just get on with it
- the degree to which managing change is a reflex action or an opportunity for reflection
- whether the management of change is recognised and acknowledged enough as part of the Facility Manager's role
- it's not just about Facility Managers.

Discussion on these themes is focused on three main issues: how the role of managing change can best be understood within the overall roles of Facility Managers, how the structures and management practices of different organisations affect the change management roles that Facility Managers play, and whether or not more attention needs to be focused on the role of managing change within the Facility Managers' overall role.

Themes from interviews: How the role of managing change is perceived

Toward the beginning of each interview, all participants were asked how important they thought the role of managing change was within the overall job role of Facility Managers. There was a clear consistency in the responses from Facility Managers that they saw the role as very important. Some of the terms used were 'extremely important', 'it's one of your major things', 'it's huge', 'it's vitally important', 'it's the key role in the business', 'it's pretty well a cornerstone of what we do', 'it's probably the most important', and 'very definitely it's a significant part of the job'.

The answers to this question by the Industry Stakeholders were similar to the Facility Managers' responses. Portraying the role of managing change as being very important, some of the ways they expressed this were: 'it's probably one of the key roles and responsibilities of a Centre or Facility Manager', 'it's one of the pivotal things', 'in this day and age it has to be one of the primary roles', 'well it's huge', 'I think it's actually critical', 'I think it's monumental', 'it's really vital to the survival of an organisation', and 'it's very important – I think that's probably what they are doing most of the time'.

Participants were not specifically asked why they thought the role was important but many of them gave reasons as part of their responses. Among the Facility Managers, the most common reason given was that the viability of their facility depended on their ability to manage change. Having a facility where change was managed well was helpful in retaining staff. It was also necessary to be able to deal with all the changes in government regulations. Many saw change as inevitable and it was better to accept it and make the most of it rather than 'hope it goes away'. Lastly, the role of managing change was seen as important because it is the way a facility can move forward and grow.

Reasons why Industry Stakeholders saw the management of change as important included:

- Change is inevitable, ongoing and rapid, so it is necessary to deal with it positively.

- The Facility Manager needs to be able to understand change, demonstrate leadership, bring other staff on board and reduce the negative impacts of change.
- The Facility Manager is pivotal in implementation of all the regulatory changes that have occurred.
- Facilities that take a positive attitude to change will be able to position themselves strongly rather than being 'victims' of a changing environment.

Themes from interviews: How the role of managing change is understood

Participants were not asked a single question about how they understood the role of change manager. Rather, the interview was allowed to develop from the opening question about the importance of the role. A number of probe questions were used to draw out people's understanding, for example 'Would you describe your role to someone in terms of being a change manager?' 'How does the management of change fit into other aspects of your role?' 'Is managing change a discrete aspect of your job or just part and parcel of being a manager?' 'Is the role of managing change acknowledged or recognised enough in the job of a Facility Manager?'

Portraying the views of participants about how they understand the role of change managers within the position of Facility Managers is much more complex than presenting the consistent responses given above to the first interview question. It is neither feasible nor desirable to give a simple summary of responses, as the semi-structured nature of the interviews allowed each participant to explore and express their views in different ways. Rather than a summary of responses, I will present a number of themes in the data that I see as relevant to the research question.

The change management role allowed and expected of Facility Managers by their organisations

One of the most obvious aspects of the residential aged care industry is the significant variation in how organisations are staffed and structured. Even within this sample of 20 aged care homes, there were significant differences in how much responsibility and

autonomy was expected of Facility Managers and how much real support was provided to them. Several scenarios based on people interviewed are outlined below. These are examples only and are not meant to represent all possible scenarios.

- A home owned by a church group that has no understanding of aged care issues and legislation, and that expects the Facility Manager to take full leadership and inform them what needs to be done. Very little extra support is provided to the manager.
- A home owned by a private provider that contacts the Facility Manager once or twice a year and only if there is a problem. While the manager is expected to run all aspects of the facility, they are not consulted about bigger picture planning issues and have to fight for any supplies beyond the basics.
- A small low care home administered by a Management Committee that has not kept up with changes in the industry and where the Facility Manager has come up the ranks as a Personal Carer without any extra training. The manager is having great difficulty getting any support or guidance.
- A large high care home that is part of a large aged care organisation that operates a number of homes. Unlike the previous scenarios, the Facility Manager in this case has access to a lot of infrastructure support such as educational and information technology services. However, they feel that decisions are made at the top of the organisation with little real input from Facility Managers and their role is one of a 'line manager' – just to implement the uniform change initiatives.
- Another large high care home that is part of a privately owned chain of homes. The Chief Executive Officer has a strong commitment to include Facility Managers as part of the senior management team and they are involved in all strategic discussions within the organisations. The strengths and limitations of each manager are acknowledged and managers are given specific development opportunities to address their limitations.

These scenarios are presented to demonstrate the diversity of structures within residential aged care organisations. It is suggested that these structures influence how the role of change management is understood by both the Facility Manager and people more senior in their organisation. It is common to expect Chief Executive Officers and

other Executive Managers to have an explicit focus on managing change. However the degree that this expectation spreads down to Facility Manager level is quite variable.

Personal attitudes to change by Facility Managers

One important issue that affects how the role of managing change is understood by Facility Managers is their own personal attitude to change. There were marked differences in the ways that participants explained their attitude to change. A small number saw the constant state of change in the sector as a positive opportunity to make improvements for residents and staff. Many of the participants saw change more as a 'sink or swim' scenario. They felt embattled and under constant pressure and felt pleased when they had got through another week. Unfortunately, several felt they were barely staying afloat or were in fact sinking from the pressure of not being able to manage the changes in their environment.

Change is just part of the job, so we just get on with it

One issue that arose was whether the management of change was just 'part and parcel' of being a manager or something that was different from or extra to the normal roles of being a manager.

There were quite different views expressed about this by the Facility Managers and the Industry Stakeholders. A number of the Facility Managers expressed the view that the management of change was 'part and parcel' of being a manager. There was a clear sense that change was inevitable and one just had to 'just get on with it'. It was not seen as something that was different from or extra to their role as manager.

> *Well I would think it should be part of... being bread and butter ... part of being a manager, you know, that's how I would see it, it's an essential part.*
> *Facility Manager 13*

> *I think it's part and parcel of being a manager, because change management is something that a manager is required to do to continue to manage successfully, I mean, you can't stay the same way all the time.*
> *Facility Manager 5*

I just think change is something that you just have to do, you know. You just take it on board and go with it.
Facility Manager 6

The Industry Stakeholders had a more critical view, which suggested that the management of change was not always taken on board by Facility Managers, but was often seen as an 'extra' duty that they did not really want to take on. There were also suggestions that Facility Managers did not recognise the need for any special training and support in managing change and that this is a problem.

Go to any Directors of Nursing meeting – and every area has one – and it's a constant theme that, you know, this is yet another change that we have to cope with, it's just something else we have to do. It's not seen as part of their role.
Industry Stakeholder 1

So I think often they [Facility Managers] themselves don't recognise their need…and see change as something that's just learned and it happens anyway. It's a bit like: Oh well it just happens. There's no good training for it. There's no good, you know, developing my skills in that area because it's just gonna happen, and change is change. It doesn't matter how you manage it – it's always a disaster or it always works.
Industry Stakeholder 11

I think people don't have the skills or the training or even an understanding of the necessity of actually putting in place a very clear plan as to how the change is going to be introduced, who it's going to impact on, what strategies need to be put in place to help the people who are impacted by the change deal with it.
Industry Stakeholder 16

Managing change as a reflex action or an opportunity for reflection?

This theme related to the degree to which Facility Managers reflected on their practice of managing change, as opposed to reacting fairly automatically to situations based on their previous experience and implicit assumptions about change. The language used by most Facility Managers did not indicate a high degree of reflection on their practice. This was consistent with the 'taken for granted' nature of managing change that a number of the managers indicated.

Nurses sort of have this thing where you take on whatever's expected of you and you just do it. Sometimes maybe to your detriment, maybe we don't stand back and look at it. We don't see it as - this is a change, we just see it as - this is something we need to do, so we just put it into place and we work with it. It's not something in a box that we look at and say – oh here's a change, how are we going to manage that, it just flows on,

it just flows and ebbs and we work with it.
Facility Manager 10

This issue needs to be seen in the reality of the residential aged care context where the work pressures on Facility Managers are often intense, extremely demanding and not always supportive of a reflective approach to work.

I think we're really, you know… if you look at a Facility Manager they're really busy jobs, you know, 'cause you got all that, there's no question they've got a lot of regulatory stuff, paper work and relationships… and they don't get a lot of time to reflect on things. I suppose everybody's busy, but it's enormous responsibility they have, when you think about it… all those people.
Industry Stakeholder 6

While most responses pointed to a reflex type of response to change, a small number of participants did mention the need to be aware of and reflect on how one was approaching the management of change.

Well because there's a psychology to change, there's….can't just say we just get on and do it because then people are often just using their reflexes to respond to change rather than planned approach to change, that's my belief… because mistakes can be made in using a reflexes approach to change….Well as I said to you before I've met people that say… well we just get on with it and they're not that good at managing it…they just maybe do things the same way all the time and don't learn from what's occurred… don't look at something and reflect on it and say: well how could we have done that differently and yes I do meet that a lot....
Industry Stakeholder 19

Is the management of change recognised and acknowledged enough as part of the Facility Manager's role?

There were clear views expressed that the management of change had not been recognised or acknowledged enough as part of the Facility Manager's role. Members of the Industry Stakeholder group expressed the strongest views about this.

It [change management skills] was required for this position …yeah but in other positions it's not been an essential criteria for the position. It's not been, you know, noted especially and I think it would have been expected that that would have been part of the core skills but not actually highlighted as such or actually written up as such.
Facility Manager 17

I think that it's not recognised that what we are doing is constantly evolving and it's not…there's probably not enough training on doing it efficiently…you know, yes we are constantly doing it [managing change]…but I'm sure there could be more efficient and more professional ways of doing it. I think if we were to evaluate how we did it and how

it was fed down through the ranks…that there would be gaps in that.
Facility Manager 1

I think it [managing change] is a core role and responsibility of management and I think it's something people have to be trained to do because if it's not managed, then you've got no control over the outcome. It's something that has not been recognised as a core requirement and, if it is, it's right down the bottom of the list whereas I believe it should be right at the very top of the list – for people to actually be able to manage change.
Industry Stakeholder 1

I would say it [change management] is a key issue but it's not recognised as a key issue. I think a lot of Facility Managers, whether they be DONs or hostel supervisors, are expected to address the changes without actually being given the skills to manage the change…... And I think we are seeing a number of key personnel actually moving out of aged care because this issue of how to manage and deal with change just isn't addressed. They're just expected to be a super person and it all just happens.
Industry Stakeholder 3

It's not just about Facility Managers

While the focus of this study is on the role of Facility Managers, it is very clear that their responsibilities for managing change cannot be looked at in isolation. How Facility Managers function is strongly dependent on how effectively Executive Managers and Boards approach the issue of change management and how much guidance and support they offer to Facility Managers and other staff.

Because I don't think the executive level of management has yet incorporated that into their role…so it's not acknowledged at that level generally.
Industry Stakeholder 17

I think it would be helpful if all senior managers, you know your CEOs, your board and down to the DON were…that it [change management] was recognised, that it was part of the job description.
Industry Stakeholder 3

Discussion

There are several issues arising from these themes that warrant attention: how the role of managing change can best be understood within the overall roles of Facility Managers; how the structures and management practices of different organisations affect the change management roles that Facility Managers play; and whether or not

more attention needs to be focused on managing change within the Facility Managers' overall role.

The perception of change management by virtually all participants was that it is an essential part of the role of Facility Managers. However, there was an under-developed understanding of how this role worked, particularly as expressed by Facility Managers. Facility Managers described it as just being part of what they do – 'part and parcel of being a good manager'. They did not identify particular skills or attributes that managers needed to successfully manage change. They all spoke in terms of them accepting change as a normal part of their job and they all said they felt confident in their ability to manage change.

An alternative perspective was put by the Industry Stakeholders, who suggested that many Facility Managers did not have an understanding of change management, did not take the role on willingly and were not aware of the training and support they needed to be able to manage change more effectively. The contrasting views of the two groups suggest that there is not a clear understanding within the sector about how managing change fits into the role of Facility Manager.

This finding is similar to findings of Buchanan, Claydon and Doyle (1999), who suggest that the role of the change agent is poorly defined and understood in many organisations. They conclude that "…the contribution of the change agent to the management of the change process is not fully recognised, is poorly supported and encouraged, and is inadequately rewarded." (Buchanan, Claydon & Doyle 1999, p.31). They argue that change agents are not given extra training and support in managing change because it is wrongly assumed they can simply add it to their normal managerial roles.

Doyle (2002) suggests that the responsibility for managing change is being dispersed more widely through organisations, rather than being the province of a small select group of senior personnel. In this context, he asks the question "Is managing change any different from my 'day job'?" (Doyle 2002, p.469). He cites examples of literature (Cockerill 1994; Broussine et al 1998; Stacey 1996) where the knowledge and skills to

perform as an effective change manager are clearly differentiated from the knowledge and skills required in a normal operational or professional role.

Doyle goes on to argue that change agents need training and development that goes beyond the rational and technical approach that is used to prepare managers for operational and professional duties. Programs must encompass the development of broader intellectual, diagnostic and sense-making skills. They must also develop higher-order political and interpersonal capabilities as well as emotional and psycho-social resilience.

Managing change is not a management role that can be neatly dissected from the overall role of being a manager. However, it also cannot be accepted simply as 'part and parcel' of being a manager, with an assumption that all managers have the ability to effectively manage change by virtue of being managers. Within the context of residential aged care, the way that managing change is understood by many managers and other senior stakeholders in the sector is too simplistic, as it does not acknowledge the additional levels of skills and competencies required to effectively manage other than the most basic change. An alternative explanation that more clearly defines how managing change fits within the overall role of Facility Managers will be developed in Chapter 5 of this thesis.

The second issue I wish to focus on in this discussion is the effect of management structures on the experience of Facility Managers as change managers. The research question this section is reporting on asks "How is the role of managing change perceived and understood within the overall role of Facility Managers?" On the surface, this seems to imply that there may be a consistent answer that is relevant to all Facility Managers. However, there is a large variation in management structures and practices across the sector. Without repeating the details of the examples given earlier in this chapter, it is clear that the levels of responsibility for initiating change, the power to influence the implementation of change and the support provided to do this vary across continua from very little to a lot.

Any attempt to understand the Facility Managers' role in managing change will need to do so in the context of the organisational structure and internal dynamics of each organisation rather than expecting to find a uniform picture across the sector.

The third focus of this discussion is whether or not more attention needs to be focused on the role of managing change within the Facility Managers' overall role. There were strong views, particularly among the Industry Stakeholders, that more attention did need to be focused on this.

> *I think we tend to assume it [change]…and therefore I think that could well influence the lesser effectiveness of how we deal with it. We assume everybody knows it's there and therefore it has to be done without perhaps giving the focus or the… you know, acknowledging how important it is……instead of change management being an understood, I think we have to look at it in a much more focused way…it has to be acknowledged as being necessary, challenging, demanding and worthy of a lot more resource inputted.*
> *Industry Stakeholder 1*

It was interesting that a number of participants actually developed an increased awareness of the importance of change management as the interview progressed. My impression was that they had not thought about it much in the past; but once they started to explore the issues, they could see that it was something that had been in the background without being properly acknowledged.

> *I think this whole conversation has been very helpful to me in that I think again we, you know, I think we… but certainly for me… I think it's an area where it is understood and I think just this conversation makes me question whether that's appropriate, because my gut reaction to this conversation is that I don't think it is appropriate, I don't think it's sufficient to have it as an understood that, you know, this will be part and parcel of the job etc. I think that we…and that could be why we're slow learners or part of the reason that we really haven't addressed in a much more focused way and perhaps in a much more structured way the fact that we need people who…we need people who recognise and therefore respond to the need to get skilled up in doing this and there are people who do it well as an almost a natural attribute and there are those that don't and I think we assume that everybody can and should.*
> *Industry Stakeholder 14*

> *Yeah, no, in fact…if anything, I've got out of this [the interview] is that I need to be a little bit more conscious of it [the management of change] actually as a, you know, as a concept and a principle rather than take it for granted a little bit…*
> *Industry Stakeholder 6*

This developing awareness of the importance of change management reinforced my notion that it is something that has been in the background of management thinking and

practice in this sector. Participants say it is important and that more attention needs to be paid to it but are not able to demonstrate what efforts are being made to achieve this.

> *However, the perceived lack of definition, recognition and support is clearly inconsistent with the acknowledged contribution of the change agency role to organisational effectiveness. This creates a paradox in the sense that, on the one hand the change agent role is being viewed as critical to success, and yet little is being done to develop competency in the role.*
> *(Buchanan, Claydon & Doyle 1999, p.33)*

This paradox described by Buchanan, Claydon and Doyle (1999) has also been demonstrated in the accounts of participants in this study. It is suggested that to overcome this paradox, the issue of change management needs to be brought from the background into the foreground of management thinking and practice within the residential aged care sector. Some ways to achieve this will be presented later in Chapter 5.

4.3: How is the role of managing change approached by Facility Managers?

Introduction

Participants from each of the two samples answered this question differently in that the Facility Managers were asked how **they personally** approached the management of change whereas the Industry Stakeholders were asked how they thought **Facility Managers** typically approached this. Consequently the reporting of the themes has been separated into two parts, one for each group. Themes from the interviews with Facility Managers were:

- how managers describe their approach
- the common denominator in managers' approaches
- variations beyond the common denominator
- different approaches for different situations
- approaches taken when change is externally imposed
- reliance on key staff in managing change
- the role of leadership.

The main theme from the interviews with Industry Stakeholders was the range of approaches found in the sector, partly in terms of how actively Facility Managers took on the role of managing change and also in terms of how much they consulted with and involved other staff.

The discussion arising from these themes focuses on three issues: the features of the commonly expressed approach to managing change; looking beyond the rhetoric of the management of change; and using the interviews to develop a composite approach to managing change.

Themes from interviews: perspectives of Facility Managers

The issue of how Facility Managers approached the management of change was explored through a number of questions in the interviews. These included asking them: directly how they approached it; to detail specific examples of how they had approached change; whether they followed any specific models or theories of change; and what they saw as the four to five most important principles in successfully managing change.

How managers describe their approach

None of the participants claimed to follow a specific model or theory of change based in the literature. Most people were able to describe their approach to managing change in their own words without a lot of prompting. They described their approach using terms like 'mental checklist', 'process', 'set pattern', 'process of using focus groups', 'my own management style'.

The common denominator in managers' approaches

Each Facility Manager expressed their approach to managing change in different ways and using different terms. By drawing out the items that were expressed in some way by most of the managers, the most common aspects of managing change were:

- having a clear understanding of the issue that needed to be changed
- consulting with key personnel, such as an Educator or Deputy Manager
- developing an implementation plan
- communicating the changes to staff
- allowing staff to have feedback and input to the changes
- evaluating the impact of the changes as they occur
- being prepared to adjust your actions based on the evaluation and feedback.

Variations beyond the common denominator

Apart from there being a reasonably consistent generic approach (as described above), there was a large variation in how comprehensively participants described their

approach to managing change. People focused on a range of different issues and priorities. These are illustrated in the summarised version of the answers that participants gave to the question 'What do you consider to be the 4-5 most important principles in successfully managing change?' – which are reproduced in Appendix 7.

Different approaches for different situations

A common theme expressed was that Facility Managers had to adopt different approaches to managing change for different situations. One aspect of difference related to the urgency of the situation. If there were any questions of safety or short timeframes demanded by regulations, the manager would be more likely to act quickly and without consultation with other staff. By way of contrast, if there were no urgency to a decision, the manager would be more likely to consult with and involve other staff.

Several participants noted the importance of Facility Managers knowing their staff really well, as they need to vary their approach somewhat with different staff. Another situational factor influencing the approach taken by Facility Managers is the overall state of health of the organisation. Managers might need to be more directive and even autocratic if the facility is in financial crisis or having serious problems with quality of care or staffing, compared to the same organisation that is functioning efficiently and effectively – where the management approach might be more inclusive and consultative.

Approaches taken when change is externally imposed

One of the characteristics of residential aged care is that much of the change is imposed by government regulation of one sort or another. It often happens that Facility Managers are responsible for implementing these changes, even if they do not agree with the changes. Participants noted that they had to make an extra effort to sell the changes and present as positive a perspective as possible.

While maintaining this positive approach, it was also important to acknowledge the frustrations that staff felt and to try and reach some form of compromise solution. If managers acknowledged staff positions in this way, it was more likely that staff could accept the argument that the change needed to be followed 'for the good of the

organisation'. There was also an acknowledgement by managers that at the end of the day they were responsible for implementing such change and they sometimes had to make decisions that were unpopular with some staff.

> *I just tell them straight out, to my staff, I really don't think this is the way I would do it but you all know that I will do whatever I have to do to make sure we meet all our legislation requirements and you all know that I'll do anything to keep this place viable. And I've said, not necessarily do I believe in everything I have to put in place, but please come along with me and anything you can't…and if you don't agree with it well we'll look at it.*
> *Facility Manager 15*

> *That's a reality and you have to accept that and move on. To do that… probably what I do in most cases is I have regular department head meetings within this place and I present the facts to the department heads. They trash it or we all trash it and we say we don't like it…that's true…we don't like it, but however that's a reality and we've got to, you know, put it into place. How are we going to do it…we'll work together as a group to do it.*
> *Facility Manager 16*

Reliance on key staff in managing change

Another common theme was the degree to which Facility Managers relied on a core group of other staff to help them plan and implement change. An interesting aspect of this was that the nature and makeup of such a group varied between facilities. In many cases it was a reasonably formal arrangement where the team leaders for areas such as care staff, catering staff and cleaning staff had clear responsibility for their areas of operation and would meet regularly with the Facility Manager. In smaller facilities, the Manager might rely mainly on the Educator and/or Deputy Manager to run ideas past and to discuss appropriate change strategies.

In other facilities, the Manager mainly worked through quality or continuous improvement groups that were made up of a cross section of staff rather than only team leaders. Often these staff members were quite supportive of the Manager in their role of managing change by virtue of their positiveness and enthusiasm, rather than their official position.

> *I think you end up with a core of people that work like how you work…they're all different, I've got AINs, assistants in nursing, domestic people, the handyman for instance, plus a couple of RNs…yeah it's not just like registered nurses. They're good workers and they've got the facility's…they want their jobs, they want security in their*

job, they want to do the best for the facility…and so they've often probably got common goals.
Facility Manager 14

The role of leadership

Various aspects of leadership were mentioned by a number of participants. It was suggested that leadership needed to be shown by all senior staff rather than just the Facility Manager. Leadership by example can be shown in day to day behaviours where Facility Managers are prepared to take on any duties required of other staff. Leadership becomes more important as the change becomes more serious or fundamental. Small technical changes require management skills but more significant changes require greater leadership by way of vision, encouragement, motivation and example setting.

Competent management was seen as a way to keep an organisation functioning, but this alone did not allow the organisation to prosper and grow. Clear and strong leadership was needed to help organisations anticipate and move forward with changes in the sector.

And, yes, there'll be small incremental changes and continuous improvement and blah blah blah in just good management. But if you just keep on just managing you will never…you won't be in a position to respond to the external changes that are going on. You will only perpetuate… you will get better and better at doing what you're doing…what is … but that doesn't necessarily mean that what you're doing and what is is a good thing to be doing. So it seems to me that somebody in an organisation has to have that sort of vision and leadership that is actually saying 'That's great guys you're doing a terrific job on that but overall this is the whole direction that we're heading in'.
Facility Manager 12

The essence of…the difference between leadership and management… leadership is about what could be, what's possible…this is in one sentence…and management is about what is. So, you know, they are inextricably linked and you do a lot of the same thing at the same time. But to understand them both and to do both of them well, you need to tease them apart and understand the differences. Leadership is very much about inspiring people, it's about direction, it's about aligning people to that direction, it's about motivating and inspiring, having people want to follow you. Inspiring people to do something they wouldn't have done… if it wasn't for the picture that you've created…getting them excited and there's all sorts of things that fit under that. And management is about having the systems and infrastructure in place so that the place stays on track.
Industry Stakeholder 17

Themes from interviews: perspectives of Industry Stakeholders

The participants in the Industry Stakeholder sample were not asked how they approach the management of change but what they saw as common approaches to managing change taken by Facility Managers. They all spoke about a range of approaches across the sector. Their responses could be clustered to describe two different aspects of managers' approaches: how actively they took on the role of managing change, and how much they consulted with and involved other staff.

Looking at the first aspect – how actively Facility Managers took on the role of managing change – it was suggested that, at one extreme, there are a small number of managers who are positive about change, see it as a challenge and are prepared to actively anticipate and promote it. At the other extreme are managers who either actively resist change or else refuse to acknowledge the need for it. The majority of managers are in between these two extremes and need varying degrees of prodding and support to help them manage change.

> *My experience is that most managers express…their approach to change is that it's just something else they have to do…that's it's not actually approached in a positive manner. Again… because most of the changes are occurring without the managers fully understanding the whys and wherefores. So at best I'd say the approach to change has been fairly ad hoc and laissez-faire, rather than a planned proactive approach…it's been reactive.*
> *Industry Stakeholder 1*

> *Oh, you have got those who absolutely embrace it and love it and run with it. And you've got those who put their absolute head in the sand and don't want to know about it and you've got the middle ground that have to be encouraged along…I'd suggest that probably the predominance of the industry is mid-point.*
> *Industry Stakeholder 9*

> *I think for Facility Managers…certainly my experience has been it's reactive change, you know…so the change is a reaction to perhaps a change in policy, a change at local level and at sort of national level…so that, you know, instead of pre-empting or changing because, you know, it seems there is a better way to do things, a lot of the change is purely reaction.*
> *Industry Stakeholder 13*

The second aspect of how Facility Managers approach change was to do with the extent to which they consult with and involve other staff – again represented by a continuum.

It was suggested that at one end of this continuum, managers followed an autocratic approach where they simply told staff what had to change. At the other end of the continuum were managers who were involved in endless consultation that seemed to go around in circles. In between the extremes were managers who provided direction and guidance along with varying degrees of participation by other staff.

> *Well I think there's a variety… some of them just issue an edict…they're the autocratic variety and the advantage of them is that, if everybody knows what the manager wants, it's very clear. Then there's the type of person who believes they've got to have a lot of consultation… and the consultation can go on for an inordinate long period of time while they frantically endeavour to get everybody in agreement… and often have to water down the change…to accommodate everybody's preferences… that's another group. There's a third group who I think talk about what they want, put in place a timeline for achieving it and pretty much adopt the view that if you don't want to go along with this, well leave. So I think they're the three main…I suppose there's a fourth group who actually let the change emerge from the grass roots up… who might define the problem…this is the problem and then get the staff to think about how the problem can be resolved and then…and therefore they're more likely to be on board for the implementation part of the process. But, yeah, I think you're either a consultative type person or you're an autocratic type person and getting that balance so you do both is… I think what's needed….but it's difficult for some people.*
> *Industry Stakeholder 16*

> *My general view and I'm being very general and I'm being anecdotal in general, is that they [Facility Managers] are steeped in nursing hierarchical traditions and that they impose in a hierarchical way. Sometimes, some of them engage and convince…but I think in the main they try the top-down. There will be, you know, some are stronger than others in the engaging and ownership but my feeling is in the main they are more weighted toward the top-down end*
> *Industry Stakeholder 7*

Discussion

In this discussion, I wish to focus on three issues: the features of the commonly expressed approach to managing change; looking beyond the rhetoric of the management of change; and using the views of participants to construct a composite approach to managing change.

In comparing Facility Managers' accounts of how they approach the management of change to the literature review in Chapter 2.1, the typical approach to managing change falls within the framework of a prescriptive, linear approach. Reviewing the literature on organisation development and change, Buchanan, Claydon and Doyle (1999) suggest

"The prescriptive elements in this literature are repetitive in their advice: clarity of goals, systematic planning, broad consultation and effective communications." (Buchanan, Claydon & Doyle 1999, p.20). Beyond a fairly basic generic model of change management, the approaches to managing change espoused by Facility Managers do not allude to many issues mentioned in the change management literature, such as the role of power and politics, emergent change, emotional aspects of change, whether change is incremental or continuous, and long-term evaluation of change programs.

The apparent lack of sophistication in Facility Managers' accounts is not highlighted as a criticism of them, but as another indication that the management of change is an issue that has not been given strong attention within this sector.

The second issue to be discussed is the importance of looking beyond the descriptions given about the management of change. There are two reasons this has been identified as an important issue. The first reason is the difference in the responses of Facility Managers and Industry Stakeholders to how managers approach change. All the managers expressed a fairly strong confidence in their own approach, suggesting that change was managed well by Facility Managers across the sector. In contrast to this view, the Industry Stakeholders suggested that there is a real range in managers' understanding of, and competence in, managing change.

A second reason it is important to look beyond the surface of participants' accounts is based on different managers' accounts of how they approach change. Most Facility Managers speak easily about the importance of communication and engaging staff in the process of change. Looking more closely at the way managers describe their approach indicates there are a range of ways to see and understand this. The question is not so much whether communication is or is not present, but how it is really implemented and followed through.

At one extreme, the communication was quite directive and it involved the Facility Manager telling staff what the change meant and what they had to do in response to this. Staff were consulted but they did not really have any chance to change the decision of

the manager. In this situation, communication is essentially one-way – it is informing, but does not have much capacity for really involving others in discussion and decision making.

> *Well, first of all, you have an administration meeting, you know, just with the admin staff and then it goes to the registered nurses and then assistants in nursing and then, at the same time, you sub-branch it out into the hotel services and maintenance staff Facility Manager 18*

At the other extreme, the Facility Manager delegates full responsibility down to a group of staff to work through the issues and come up with solutions. Communication in this case is more two-way. The manager is prepared to really listen and take on board the ideas and concerns of staff. Both extremes are fairly idealised situations and – looking behind the accounts of Facility Managers – it seems that most people are operating somewhere between these two extremes. What is suggested is that sometimes managers use clichés and terms like 'communication' and 'engagement' without really examining critically what they are doing, and it is preferable for managers to be able to critically account for what they do in these areas.

A further aspect of rhetoric around communication and engagement is the degree to which staff want to be really involved. A suggestion from several participants was that many staff are part-time or casual, as well as being over-worked and under-paid. The feedback the managers get from staff was that they liked to be kept up to date but did not want to get too involved with discussions or planning about change – they saw that as the manager's role and they preferred just to be told what to do.

> *I suppose that's the final thing in this notion of ownership…if you can involve people along the way so it becomes their change not your change… so it's collective change not imposed change, would be great. Not always possible… I'd say it's a real problem within the aged care sector because all the management theories, all this inclusiveness and all this sort of stuff… what people turn up one day a week, two days a week, you know, staff turnover is 30% +, you know, and it's normally your peripheral… your core people are often tired, burnt out, they don't want change, they're so tired coping with today and the fact there's no staff and the fact that three people have been transferred to hospital and they can't get a GP and, you know, I haven't got time to sit and talk about how nice it would be if we changed the way we did 'X' in the organisation. Industry Stakeholder 11*

The third issue I wish to highlight in this discussion is the potential to develop a more comprehensive explanation of how Facility Managers might approach the management of change. This has been achieved by using all the responses from participants (as

opposed to only commonly used ones), to develop a fuller, more composite picture. The main features of such an approach are outlined below.

- The manager must have a clear understanding of exactly what the change involves, why it is important and how it might impact on the organisation.
- They need to be clear about the overall vision, purpose and aims of the organisation and how this change fits into these. They need to be clear about how the change fits into the core values or operating principles of the organisation and the core business processes of the organisation.
- Even if they do not agree with the changes, they need to work out how they can portray them in as positive a light as possible.
- They need to have an awareness of how the change may affect key groups, for example residents, family and staff, and think through the implications of this.
- They need to involve key staff in early discussions about the change. Who this is will vary across facilities and the type of structures in place. For example, it may be a Deputy Manager, Educator or members of a Quality Committee.
- They need to delegate responsibility for following through with the changes to the appropriate person or persons and they need to ensure these persons have adequate support and resources to be able to do this.
- They need to develop a comprehensive communication plan that might use a number of different approaches, such as inservice training, one to one sessions, staff meetings or memos.
- The manager needs to lead by example – staff are much more likely to accept change if the manager is prepared to 'get their hands dirty' by following through the changes personally.
- They need to allow time for changes to occur rather than rushing things through too fast. They also need to accept that things will often not go as planned but that plans will have to be adapted along the way.
- They need to recognise and work through staff concerns, rather than dismissing or trivialising them.
- The manager needs to put processes and systems in place that will support the change in an ongoing fashion.

- They need to evaluate the impact of the change and be prepared to stop it or make further changes to rectify any problems that are uncovered in an evaluation.

The collective wisdom of the Facility Managers has provided a more comprehensive account of approaching the management of change than the explanations of individual managers. This more comprehensive account is comparable to approaches advocated in the organisational change literature. It also provides a framework that Facility Managers can use to reflect on and assess their own approach to managing change.

4.4: How Facility Managers learn to manage change

Introduction

This research question was primarily addressed by asking participants directly how they had learned to manage change and how they had learned other aspects of being a manager. The participants also provided insights to this question through their comments in other parts of the interview. The themes that I have constructed from the interviews to answer this research question are:

- on-the-job experience
- the support provided by the organisation
- the important role of peers
- the role of formal and other forms of study
- personal qualities
- organisations in the sector that help managers learn their role
- the role of consultants.

The section then includes brief case studies of six Facility Managers focusing on their experiences of learning their role. The intention of these is to provide a personal perspective of the issues being discussed. The discussion considers several issues: the limitations of learning through on-the-job experience; the role of organisational support; the need for Facility Managers to support their own learning; and the connection between formal study and workplace learning.

Themes from interviews: factors contributing to manager's learning

On-the-job experience

The most prominent method of how participants learned to manage change was by direct experience on the job. Terms that were used to describe this phenomenon

included: ‘I learned the hard way’; ‘having things happen and working through them’; ‘the university of hard knocks’; ‘it’s experience’; ‘years of experience – I think just dealing with people and co-workers’; ‘I’ve done some things not very well and I’ve learned lessons from that’; ‘by trial and error and also by role models and experience’; ‘I think for a lot of people it’s on the job, it’s listening to stories of other people who’ve gone through a change process…so they kind of learn by example’; ‘I’d say intuitively basically… intuitively and experience’; ‘it’s pretty much on the job and by observation’; ‘I think it’s pretty much sink or swim’; ‘would suggest by watching, by experiencing, by being part of, simply by doing’.

Most of the participants spoke about learning from more senior staff as they were coming up through the ranks. There was often one or two particular senior staff that the person had identified with and used as a role model. While some had been put into the position of Facility Manager without any management experience, others had worked as Deputies and had learned a lot from observing their managers.

The support provided by the organisation

A major factor influencing the learning of managers was the degree to which proprietors or executive management were prepared to actively support this learning. Accounts by managers suggested that this relationship could be helpful, neutral or unhelpful.

In the first scenario, organisations that had a helpful relationship made a point of nurturing their managers through constructive performance appraisal, planning and provision of staff development opportunities, peer support and having more senior managers available to assist Facility Managers in their job without taking over.

A second scenario occurred when proprietors or executive management were neutral in how they supported the learning of their Facility Managers. In this case, the assumption was that the person had been employed to do the job on the basis that they had the necessary experience and qualifications; and that the organisation did not have any particular responsibilities to further promote this. In this second scenario, the senior management may well provide support by way of training or extra resources if the

manager asks for it, but they will not actively find out if such a need exists. While many managers will cope well with this approach, there are situations where the manager becomes snowed under by the pressures of running the facility, and management and leadership problems do not get detected and addressed.

A third scenario was when the proprietors or executive management were unhelpful and in some cases almost hostile toward the Facility Managers. This was more likely to occur if the proprietor did not have much personal contact with the facility and if they were mainly focused on making a profit. In this case, managers could not get resources for improved resident care, let alone support for their own professional development.

The important role of peers

Learning from peers is a major source of learning for Facility Managers. This may be from other managers within the same organisation or from managers working in other organisations. The structure of support can range from very informal through to structured networks, although the greatest emphasis in this sector seems to be on the informal relationships that managers develop.

> *I think you learn from your peers all the time, you're constantly learning how they handle different things*
> *Facility Manager 18*

> *I would say in our sector it's networking and peer support, so you sort of build relationship with a like facility or someone that perhaps you know personally who's in the same situation and I think you often see senior management supporting each other.*
> *Industry Stakeholder 3*

> *So peer support, it's really important, people in similar roles that might be struggling with the same type of issues sharing and collaborating on those types of issues*
> *Industry Stakeholder 5*

Some of the managers interviewed were part of larger organisations that ran a number of facilities. These managers tended to get feedback and support from other managers in their work-based network. For managers that were not part of larger organisations, they had to find their peer support in other ways. Some achieved this through regular contact with a small number of friends who also worked as Facility Managers. Others achieved it through involvement with organisations such as Geriaction (a professional association of nurses who work in aged care) that had other managers as members.

Another way that a number of managers pursued peer support was through regional Directors of Nursing (DONs) Meetings. These are often based around an Area Health Service Area or District and tend to meet monthly or bimonthly. The structure of the meeting varies somewhat and is determined by the people who make up the group. The groups provide an opportunity to share information, maybe discuss local service issues and for members to get feedback and support on problems they may be having.

Most of the Facility Managers interviewed either attended these meetings regularly or had done so in the past, although some managers saw them as more useful than others. It was commented several times that they were particularly useful for DONs from stand-alone facilities. Another comment was that their usefulness depended somewhat on the make up of the specific group.

The role of formal and other forms of study

Study in some form or other was another way that managers learned to manage change. There were several perspectives expressed about the role of formal studies in management. Interestingly, several people who had done postgraduate courses did not remember the details (regarding content about change management) or else did not see the courses as having much relevance.

> *Probably the Masters of Management has stuff on organisational change within it and different models… don't ask me which ones they were, because I can't remember.*
> *Facility Manager 2*

> *There were things in the Master of Education that, you know, looking at organisational behaviours, that type of thing. On paper it looks wonderful but when you try and put things in practice I found that it fell in a heap…nature of the beast I guess*
> *Facility Manager 11*

> *How did I learn to manage change? I don't know, I'm pretty sure I did a couple of subjects at uni. Oh, I did a TAFE course which was personnel management and I know that we touched on change management theories and those people way back and I know we did a little bit of it again at uni. I suppose that gives you the basis of it, but probably for me is probably people I have worked with that have probably taught me how to do it…*
> *Facility Manager 16*

Other participants spoke about the benefits of formal study in terms of opening their mind to a 'bigger picture' and promoting reflection on work practices that would otherwise be taken for granted.

> *I think that the, you know, being educated and looking at a much bigger picture than your own environment certainly is a great help. And I don't believe you could do this role, I don't believe you could do it successfully if you haven't really sort of opened your eyes to the whole industry.*
> *Facility Manager 8*

> *I think it [formal study] made some difference to me…it furthered my understanding*
> *Facility Manager 13*

> *To be honest, I …personally I think it [formal study] is very important… because I think it gives exposure to the theories …and a good manager will look to apply…how to apply theories, right. They won't apply the theory straight off but they'll say "How can I adapt and apply this theory to this situation?"*
> *Industry Stakeholder 7*

One problem with formal study is that there may not be many incentives apart from personal drive. Facility Managers are generally very busy and do not have much spare time to take part in formal study. They do not always get support from their organisations to undertake study; and it can be very expensive, without there necessarily being a financial benefit from having completed the course.

While formal studies in management were seen as important, a more common form of study was through reading, short courses and by participation in industry workshops and conferences. This view put less importance on the study being formal tertiary study and more importance on the enthusiasm of the person to learn. Several people spoke about the importance of the manager actively going outside the workplace to attend such events. These were seen as important in keeping up to date and at the forefront of changes in the sector.

> *Our organisation offers internal management training, in the years I've been here, not only internal but external courses. I mean I usually go to at least one conference per year. You know, if I see external courses or education days in the industry I will go to those and also internally, so it's all levels of education really.*
> *Facility Manager 8*

> *Yeah, it's about self-education I guess…it's about reading and gathering information and when you don't know something, I'm very much one to …so I don't know what that is but I'll find out, and so I push myself to find out*
> *Facility Manager 10*

I'm not so worried whether people go off and do a TAFE qualification or a university qualification…quite frankly if they have an attitude of wanting to learn, taking advantage of whatever courses or seminars or whatever come up that they have that attitude of constantly learning and reflecting, so that they're consciously learning.
Industry Stakeholder 4

Personal qualities

A number of participants remarked on their own personal qualities or of other managers that helped them learn to manage change. These included loving challenges, enthusiasm, intelligence, persistence, determination, being a good motivator, being a 'survivor' (someone who looks for other solutions when blocked), being centred and self-possessed, loving what they do and being passionate about their work situation.

Although these various qualities were seen as helping to learn to manage change, there was also a clear theme that successfully managing change does not require specific personality traits or types. Rather, managing change was seen as something that can be learned by a whole cross section of persons and personality types.

I know that people say there are these traits that managers have, and that leaders of people have, and there's a lot of theory about that. But I've got a great deal of faith in the idea that if you want to do something you will do it, no matter what your personality traits are or what your weaknesses and strengths are. You will do it if you've got enough insight into your own personality to understand where you need to get support.
Facility Manager 3

…if you choose to take on this role, I really strongly believe that …and I've just had wonderful evidence of this lately. I've been working in a large organisation with a leader who is very quietly spoken but the strength emanates from her. So she's certainly not extrovert, she's not out there, but the changes she has achieved over the past couple of months have been phenomenal. So even though in some ways maybe…if the basics of personality, you know, charisma they talk about is there maybe it helps you…but I think the skills to manage this can be learned.
Industry Stakeholder 17

Another aspect of personal qualities related to the life experiences of managers and how these had helped them learn to manage change generally. These included working in a variety of different work settings as well as more personal experiences such as raising a family, death of a spouse or parent, or going through a divorce. Personal qualities also relate to how energetic and outwardly focused individuals are. For example, are they

prepared to take initiative and join associations, do they go to conferences, and do they make an effort to participate in networks?

Organisations in the sector that help managers learn their role

The organisations that were mentioned by most participants as having a role in helping Facility Managers learn to manage change were the industry peak bodies – Aged and Community Services (ACS) and Australian Nursing Home and Extended Care Association (ANHECA). The former is made up of organisations from the not-for-profit sector and the latter is primarily made up of organisations from the for-profit sector, although there is some overlap in the membership bases of the two peaks.

The support provided by industry peaks was on several levels. At the most intensive level, the peak body provided a comprehensive consultancy service that a facility might subscribe to. A staff member from the service would come out to the facility and work through problems over a period of time. This was used particularly by new managers or by facilities that had significant management or financial problems. A second level of support occurred when managers had a short-term problem that they needed advice on. Most participants reported that they contacted the peak bodies directly for advice and found them to be helpful and effective.

A third level of support was through the provision of regular information and industry updates through journals, magazines and electronic newsletters. A fourth way that the industry peaks support the learning of managers is through the provision of seminars, conferences and a range of educational programs that are open to members. These are useful because of the content of the programs; they also provide a structure for managers to develop networks with managers from other facilities.

There were other organisations that were nominated by participants as having a role in helping mangers learn to manage change. These included professional organisations such as Geriaction and the Australian Association of Gerontology; and nursing organisations such as the College of Nursing and the NSW Nurses' Association.

The role of consultants

A number of participants had used consultants – either to help them deal with a period of change or if the facility was having management or financial problems. Another situation where consultants were used was when low care facilities (hostels) – which traditionally had minimal staffing levels – were struggling with the regulatory requirements of accreditation and paperwork associated with the funding tool.

Case studies of six Facility Managers

One of the most striking aspects of conducting interviews with these 20 Facility Managers was the great variety in how they had learned to manage, including how to manage change. While none had found it easy, some had a reasonably smooth journey while for others it had been quite traumatic. Some had well-organised and supportive organisations while others worked in organisations that either provided little support or were almost hostile to their managers.

To illustrate some of these differences, the following section will contain an outline of the experience of several of the participants in the study. These are not intended to be representative of all managers in the sector, but to provide a personal perspective of a cross section of managers. The names used in the case studies are pseudonyms for the research participants.

Facility Manager 10 – 'Patricia'

Patricia is in her mid-50s and is the DON of a high care facility. She has been in the position for five years and this was her first management position. She found the first year or so very difficult but got through because she had a supportive proprietor and skilled staff that she felt were quite supportive of her. Her facility is part of a privately-owned chain. In the past, the facilities have all operated quite separately but there is an increasing move for them to work in a more coordinated fashion. There is now an Operations Manager who provides a bridge between Patricia and the proprietor, and Patricia and the other DONs in the group are starting to meet to develop common policies and procedures. She remarks that she could not survive if she was in a stand-

alone facility with no infrastructure support. Patricia has no formal training beyond a hospital-based nursing certificate although lately she has undertaken a Certificate 4 in workplace training. Overall, her learning path has been difficult but manageable.

Facility Manager 9 – 'Joan'

In her mid-50s, Joan is a Hostel Manager of a small stand-alone hostel. She started as a personal carer and has worked her way up to the position of manager over 10 years. The facility is run by a Board, made up of longstanding members who have not kept up to date with changes in the sector. Joan has no formal qualifications. She has found the changes that have occurred since the introduction of the Aged Care Act extremely stressful and has had very little support from within the organisation. She has felt completely out of her depth and cannot understand why she has to do the same amount of paperwork as other organisations that have lots of infrastructure support. Joan complains of problems sleeping and says the stress from work has contributed to a number of 'nervous breakdowns'. She has only been able to cope because of a chance meeting with a CEO from another organisation who met her at a meeting and offered her support because he could see how much trouble she was having. Overall, her learning has been quite traumatic. As a postscript, some months after the interview, Joan contacted me to say the hostel had been closed and she was out of a position.

Facility Manager 6 – 'Mary'

Mary is in her 30s and is the Hostel Manager of a medium size hostel with about 10% of high care residents. The hostel is part of a not-for-profit organisation that runs a number of aged care facilities. She started as an Assistant in Nursing and has worked her way up through several positions and locations. She says the organisation is extremely supportive of its staff and provides education and other opportunities as needed. Mary did not feel particularly stressed about the changes in the sector as she said most of the responsibility for 'big picture' issues was taken by head office. There was also a quality coordinator who visited all the facilities to help with systems and was available for support when needed. Mary had done a number of short courses through the industry peak body. Overall, her learning journey had been very positive and productive and she had a lot of organisational support along the way.

Facility Manager 3 – 'Lesley'

Lesley is in her mid-50s and is the DON of a medium size high care facility. This is a stand-alone facility owned by a not-for-profit organisation. Lesley has been working in aged care most of her career and had several management positions before taking this one. The proprietors do not know much about the aged care sector and leave her to make most of the strategic and operational decisions. Lesley has done a gerontology certificate and business studies at TAFE. She makes considerable effort to be involved in professional associations and networks, as this is the main way that she sees she can get personal and professional support. She feels considerable stress having to deal with all the changes in the sector but feels confident that she is managing well – albeit with some personal cost to her. Overall, Lesley's learning has been long-term and has been largely based on her own personal drive, rather than a supportive organisation. While it has not been traumatic, it has been difficult and has required a large personal commitment from her.

Facility Manager W –'Gerard'

Gerard is the Director of Nursing in a medium size high care facility that is privately owned. He has worked in a number of aged care facilities, several with a strong psychogeriatric focus. He has several nursing certificates, obtained early in his career. His experience is that managers learn by experience and usually get support from senior staff or peers from other aged care facilities. While the proprietors of his facility own a number of other aged care facilities, the homes all function as individual businesses and there is very little infrastructure support such as training or management development and no peer networks with other managers. His experience in the sector is that managers are expected to know how to function and are normally not given any specific support from their organisations. Gerard did not make use of industry peaks or professional networks, which he thought were too focused on charging money, which the proprietors were not prepared to pay. Gerard's learning journey was truly based on the 'university of hard knocks' as it had occurred through trial and error in a largely unsupportive organisational structure; he had not partaken of any study; and had isolated himself from industry networks and professional associations – although he was a senior member of the local area DONs group.

Facility Manager 8 – 'Margaret'

Margaret is the manager of a site that includes a medium size high care facility as well as a large low care facility. The facilities are part of a large not-for-profit organisation that has a number of other aged care facilities. Margaret has worked within this one organisation in a number of different roles for around 20 years and been in her current position for five years. Margaret has been a committed student over the years. She started with a hospital-based gerontology course and then went on to do Bachelor, Diploma and Masters courses. She feels the education she has undertaken has allowed her to understand the 'big picture' issues in aged care. Margaret also feels she has benefited a lot from being in a large organisation, because it has given her room to grow and develop. The organisation also provides in-house management training as well as encouraging managers to participate in outside training courses. Margaret tries to go to at least one industry conference a year to keep up with developments in the sector. She is an active participant in the local area DONs meeting. When Margaret started in the organisation, there was a senior nurse whom she used as a mentor and Margaret now provides that role to more junior staff. Overall Margaret's learning journey has been gradual and comprehensive. She has taken a lot of initiative for her own learning, has drawn a lot from her peers and has made the most of a supportive organisation.

Discussion

The main issues that I would like to focus on are: the limitations of learning through on-the-job experience; the role of organisational support; the need for Facility Managers to support their own learning; and the connection between formal study and workplace learning.

While the most prominent method of how participants learned to manage change was by direct experience on the job, there are several problems with an over-reliance on this mode of learning. Firstly, a number of participants had not had developmental experience of being a manager but were thrown into the role without any significant preparation or ongoing support. Secondly, for those who have had some experience, the learning is very dependent on who is the role model and how effective the behaviours

they are modelling are. Because the sector is so diverse there is no way of having consistent messages being passed on through this form of learning.

> *Half of them [Facility Managers] have probably come into their role by, you know, the fact that they have been in an organisation for years and, you know, they become the managers or hostel supervisors or whatever and they've probably learned it through example from someone else and that could be either a good thing or a bad thing and they often, you know, just figure it out and muddle through.*
> *Industry Stakeholder 19*

> *So they've learned by role model and they've learned by experience, depending on how good their role model is …has been…as to how well they'll handle it. There has not been, with all the changes that's happened, there has still been no emphasis on actually training managers to manage change.*
> *Industry Stakeholder 1*

A third limitation with this form of learning is that it is often a passive process and there are no guarantees that the person is actually learning from all the experiences they are going through. If the experiences are 'negative' then much of the learning will also be 'negative'. The accounts of several Facility Managers included descriptions of active personal reflection. For others, the learning people spoke about was largely a passive process of observing how more experienced staff managed the facility. There was little evidence of structured or semi-structured learning on the job through methods such as coaching, job rotation, learning circles, succession planning or action learning. Several people mentioned having mentors but this was mostly on an ad hoc basis.

Doyle, Claydon and Buchanan (2000) conducted a survey of 92 managers to explore their experience of managing change. One of the six themes they addressed was learning from experience. While interviewees highlighted the importance of learning from experience, the ways this actually occurred were much less clear, prompting the authors to conclude:

> *In contrast with the fashionable image of the rich experiential laboratory of change, these results suggest that learning opportunities are not being exploited effectively: no reflection, repeat mistakes, losing valuable knowledge, no monitoring, lack of systematic management development and an absence of organizational learning mechanisms.*
> *(Doyle, Claydon & Buchanan 2000, p.S64)*

A second issue for discussion is the important role that organisations play in providing a positive and supportive learning environment for managers. It is very clear from the accounts of Facility Managers and from the brief case studies above that aged care

facilities vary greatly in both the amount of infrastructure available to support managers and in their policies and practices around selection, development and ongoing support of their Facility Managers.

The small sample size of Facility Managers included in this study means that it is inappropriate to estimate the proportions of facilities falling into each of the three groups described earlier as being either helpful, neutral or unhelpful. However, there were indications that at least some organisations are moving to the more supportive end of the spectrum. Several of the participants in the Industry Stakeholder group were CEOs or senior executives of large organisations. They indicated that there had been significant improvement in the preparation and support of Facility Managers over recent years in at least a small number of organisations. This improvement was in terms of the amount and structure of supervisory support as well as the increased numbers of managers completing further studies, including management-related studies.

> *Well originally, if you'd said four years ago, it would have been knowledge gained on the job and whatever the person that had done the job before you had taught you on the way…now they all have tertiary qualifications or are doing some extra study and actually can put it on a formal basis and initiate it from a different perspective.*
> *Industry Stakeholder 15*

> *So all of our managers were supported through a Certificate for Frontline Management, that was followed by…they've now had two years of hand- on practical management training and leadership with an external facilitator…who has worked with our staff for a full day every month for the last two years to develop their expertise in problem solving, communication, prioritising, rational thinking…all those areas that it takes to develop a manager.*
> *Industry Stakeholder 1*

While organisations have a vital role to play in supporting managers, the third issue within this discussion focuses on the need for Facility Managers to support their own learning. Many Facility Managers are working in small organisations – often in professional isolation. Many of these people are receiving little active support from their organisations in their management role generally and specifically in the management of change. For many managers, their learning is by the method of 'sink or swim'. While there are some who sink, many managers tread water for some time and eventually swim. One of the factors influencing the outcome will be how well the managers can harness resources to support themselves.

Participants in this project demonstrated a willingness and ability to access a variety of people that could help them in their role of managing change. These included peers within their own organisation, other Facility Managers in their local area, friends and associates who worked in the aged care sector, members of professional associations, staff of government departments and consultants. These resource people were filling a need for an accessible, well-informed, non-judgmental listener and advice-giver. Within the sector, it is essential that Facility Managers have access to this sort of person in one form or other.

The fourth issue to focus on in this discussion is the connections between formal study and workplace learning. While a number of participants suggested that formal study was vital to give people a theoretical understanding or 'bigger picture' of their work role, others put greater emphasis on managers using a range of educational opportunities to keep up to date. While formal qualifications in management have not been a standard expectation of Facility Managers in the past, there is a small but growing market in aged care management courses at tertiary level. Whatever format the education was to take, it was seen as ideal to have a combination of study, experience and a range of support all working together.

> *Well, they're probably of equal importance as all the other things, because I don't think just the training on its own would ever have fitted me to pursue it in practice. I just don't believe that would be the case. I believe that the experiences and being able to have good mentors in the industry helped equally as much.*
> *Facility Manager 3*

> *I think there's a real mix of that. I think you've got to have the capacity to…the exposure to that sort of academic or training…formal training of some sort. I think that's critical because the concepts, the theory is important. But it is the mix then of tried and true, rubber hits the road…all that sort of stuff where you've done it and you've seen it being done that makes the difference.*
> *Industry Stakeholder 14*

This view is also expressed by Holman (2000), who recognises that learning from everyday experience can be unreflective and difficult to make sense of without access to alternative theories and experiences. "Learning, therefore, is seen ideally to be a process involving the use and analysis of experiential and theoretical knowledge in various forms of reflection, (re)conceptualization and action." (Holman 2000, p.199)

4.5: Supporting Facility Managers in the management of change

Introduction

The research question this section addresses has two parts. The first part of the question asks whether Facility Managers need to be supported in their efforts to manage change. The themes that were identified from the interviews are: how the participants responded to this question; the toll taken by managing change; and the need to nurture and maintain Facility Managers of the future. The discussion in this first section examines the role that managing change plays in contributing to the stress levels reported by managers.

The second part of the research question asks: if more support is needed, how should it be provided, and by whom? The two themes from the interviews are support from within the organisation and support from sources outside the organisation. The issues for discussion are: the lack of substance and structure in how Facility Managers are supported within the sector as a whole; lessons from the literature about supporting managers; and suggestions about how these lessons could be applied to this sector.

Themes from interviews: do Facility Managers need more support?

The themes arising from the interviews definitely indicate that Facility Managers do need more support in their efforts to manage change. The reasons for this are:

- that participants strongly believe this to be the case
- that, with current levels of support, the amount of change that Facility Managers have had to manage has taken a significant personal toll on them, and this in turn has had a negative impact on the sector
- that, without increased support, there will be difficulty recruiting and retaining Facility Managers in the future.

Participant responses to the question

Participants were asked whether they thought Facility Managers needed more support in managing change. All participants made strong statements that managers needed more support in this aspect of their role. Short answers to the question included: 'I think everyone in a managerial role needs support'; 'Most certainly, yeah, most certainly'; 'And the answer is absolutely 100%'; 'Absolutely'; and 'Oh definitely, definitely'.

> *Everybody needs support and even if it's to manage change. And the amount of support that they need depends on their abilities, their training, what resources they have which means, you know, what education, experience and understanding that they have*
> *Facility Manager 4*

> *Well, everybody needs support, everybody needs support in everything they do and mentoring roles within the industry are very important so far as making people able to manage the changes that happen.*
> *Facility Manager 8*

> *They definitely need to be supported. They definitely need some sort of support. It's very, very lonely to be at the top, if you like, as a Director of Nursing you don't have another Director of Nursing on that staff to help you.*
> *Industry Stakeholder 9*

> *I do think they have little training and experience and that they should be supported. They need to be supported by the senior management first of all, you know, but you have to start in their own house first and then by their peers, you know, by building up a relationship with their peers, you know, and if you had a mentor that's a really good thing*
> *Industry Stakeholder 12*

The toll taken by managing change

The issue of how managing change has taken a personal toll on Facility Managers was not something I set out to examine, and questions about it were not part of my original interview schedule. However I found in the first few interviews that participants spoke a lot about the difficulty of managing change and the personal impact of this. Subsequently I incorporated a question about this into my interview schedule.

Participants were asked whether the amount of change that Facility Managers have had to manage in recent years has taken a personal toll on them. The clear and consistent response was that it has. Participants spoke about their own experiences, which included extreme exhaustion, burnout, depression, family stress, and mental and physical

breakdowns. For me personally, several of the interviews were quite disturbing as the Facility Managers described their work as contributing to strokes and nervous breakdowns.

> *I think there's evidence [of a personal toll] in you could look at it through workers compensation claims, there's stress and I think you could look at it in resignations of senior managers and the fact that we can't attract managers into the aged care industry at the moment. I think they're the three key issues that have shown it's taken its toll. Why would you work as a senior manager in aged care when you're struggling to get enough money from the Government to run the facility and you just get yourself skilled up in how it's happening today and you jolly well know it's going to change tomorrow. Industry Stakeholder 3*

> *Yes it has, depending on how the organisation has supported them and I give you a personal account. I worked as a line manager, I was managing a nursing home, hostel and retirement villages between '96 to '97 so it was just before the introduction of the changes. The senior management in the organisation I was working in had no idea about how serious the implications of accreditation standards was to the organisation. There was no understanding whatsoever. So the consequence was I was a new manager who was left to manage a complex $4 million operation without a lot of support. It took its personal toll on me and it was that, you know, final release after the facility went through accreditation, I was burnt out and I took up my job at XXX because I couldn't handle it anymore. I just got to the end of where I felt personally I was chewed up and spat out by the organisation, I'd served a purpose and that was it. Industry Stakeholder 5*

> *Oh very much so, yeah. Well, as I said we've unfortunately… we've lost some Directors of Care… because it's just been too stressful for them. And the fact that it's been one on top of the other… the changes that's been made. And they just get used to one system and that changes again. So yeah, so it has been very hard on…very hard. Industry Stakeholder 15*

The need to nurture and maintain the Facility Managers of the future

A recurring theme that emerged throughout the interviews was the difficulty of recruiting and retaining managers. While this problem is partly to do with the general shortage of registered nurses, it is also affected by the number of experienced nurses who have left the sector. It is further compounded by the low level of interest from other staff in aspiring to the manager's job in the future. Most participants said that staff could see how difficult the manager's job was, and that the staff did not want to take on the stress themselves. It is suggested that one important way to overcome this problem is by

providing more support to people taking on the management role, including in the management of change.

> *No one wants it. They say to me 'Who'd want your job, all the responsibility, and what you're having to do with being on call and…who wants to have to be the one totally responsible if everything isn't right and have to deal with the families abusing you, and committees…Who wants that? No one'.*
> *Facility Manager 15*

> *…we do look after our Directors of Care, we pay them well, they've got… you know …and we educate them so we do try and put you know invest in them, so that's part of it. But I can understand that a lot of the RNs just wouldn't be interested so we have tended to …I don't think we have anyone at the moment that's actually come up through the ranks…we've recruited from other places …we've head-hunted. The problem is there are very few young RNs coming into aged care*
> *Industry Stakeholder 15*

> *There's been poor succession planning…and almost impossible succession planning because people have said 'No I don't want to do it'… they don't see it as something to aspire to, they see it as unbelievably hard work*
> *Industry Stakeholder 17*

Discussion: do Facility Managers need more support?

The main issue that needs to be highlighted in discussion is that the management of change will continue to have a negative impact on Facility Managers and the sector generally until it is more clearly acknowledged and brought into the foreground of management thought and practice.

The impact of managing change cannot be neatly separated from the impact of other aspects of being a Facility Manager. There are many pressures on managers that have led to many of them bearing a personal toll such as stress, sickness or leaving the sector. Pressures reported by participants included: extra unpaid time that managers often work in order to get their job done; a sense of frustration that they have continual interruptions to their work that make it difficult to follow plans through to completion; the turnover of staff; the great difficulty finding suitable staff; the fact that many staff have low levels of education and literacy and require a lot of supervision; the large amount of documentation in the sector and a sense that this makes it harder for staff to spend time with residents; and a lack of recognition and support of the Facility Managers by more senior managers within their organisations.

Even though the management of change cannot be neatly differentiated from other aspects of the Facility Managers' position, there are strong suggestions that it is a significant contributor to the amount of stress and pressure that Facility Managers feel.

> *Too much change and too little time, too much pressure and not enough support to roll it out – that's I suppose putting it very simply*
> *Facility Manager 17*

> *Well I guess from what I've said here we've had…I think that we've had people's health suffer. We've had a couple of our staff resigned and which was very sad for them and for us because they were very important staff members. But they just felt that they didn't, they were terribly overloaded, they worked very long hours, they chose to work extra long hours and I just think that…probably a lot of this has arisen because change wasn't managed properly…and so things just were happening and snowballing and yeah…just…it had to happen, so it happened but, you know, everyone was on the hop and not being pro-active and that probably we didn't have all the necessary systems in place to handle the changes.*
> *Facility Manager 19*

> *As a whole, if you look on the surface, you know, aged care has come a long way. If you delve a bit deeper though I would say the change has been quite devastating on a lot of people*
> *Industry Stakeholder 2*

> *Absolutely, absolutely. The number of conversations I have with people who are burnt out, frustrated, left aged care, left nursing because of the degree of change, the way change has been imposed, the nature of the change…I think it's a lot of reasons why managers leave aged care because I think they are sick of implementing change for what they perceive is change's sake. I think that and a number of other issues, staffing, recruitment, expectation etc. etc. etc….the terms of conditions of employment. But I think that having to manage change that's imposed constantly for what is seen as very little reward or very little improvement in service is damn hard, really hard.*
> *Industry Stakeholder 11*

Stuart's (1995) concepts of primary and secondary triggers to change are helpful in understanding the emotional impact of managing change. Primary triggers are the formal, stated change programs such as restructuring, implementation of new funding systems, introduction of new technology and development of strategic plans. The secondary triggers are the personal interpretations each manager puts on the change program and these will vary greatly between managers.

> *For example, the effective dismantling of a long-established career ladder for promotion might, for one manager, trigger issues of betrayal, for another insecurity, for another rule-breaking and for others opportunities for autonomy and self-management. Further, what may be perceived by some as small changes, may be viewed by others as significant discontinuities.*
> *(Stuart 1995, p.22)*

Stuart emphasises that organisations tend to focus on the primary triggers and expect that the implementation of these should be a fairly rational process. Contrary to this scenario, managers on the ground are actually grappling with the secondary triggers, which are individual, often negative and often out of alignment with the primary triggers. Each manager is experiencing organisational change as a personal journey. Unless this is recognised and worked with, many managers will continue to be stressed by managing change, and organisational change programs will flounder.

This point is echoed by Doyle (2002) who argues that managers and others who are acting as change agents need psychological and emotional support:

> *It was clear from the interviews that whilst some individuals were able to cope and indeed relish the stresses of a change role, others were struggling and this struggle was not confined to the workplace, it was impinging on their personal lives too. Not only does a lack of support threaten individual performance and mental wellbeing, it creates organisational and individual risk as underperforming change agents fail to meet expectations and deliver results.*
> *(Doyle 2002, p.474)*

Themes from interviews: how can support be provided and by whom?

Support from within the organisation

The organisation can provide support to managers in several ways, including: clear leadership from the executive management; an understanding and appreciation of the role of the Facility Manager by the executive management; and supportive structures that assist the Facility Manager in their role.

> *I think …that the level of support that's given to the managers on a one to one situation through regular meetings with them and then also formal team meetings where they get together and they share information and skills and resources…I think it's another really important way of doing it. I think also another area that's really important and it's part of change management, is the appraisal process that staff have and that they receive not only…I think it's important that staff regularly receive information regarding how they're performing.*
> *Facility Manager 2*

> *I think the key thing from my point of view is organisational support, organisational regard for their position, having the mechanisms that genuinely listen to what they are struggling with and that there are concrete supports that the managers themselves are*

determining they need. So you know, if the manager says look I have no idea what I'm doing and put their hand up, all efforts go to give them a hand to help build those skills with an emphasis on building skills not doing it for them, building skills so that they can actually run and not do a nose dive off the cliff. The goal is to see them fly off the end and keep flying, keep going and not get burnt out.
Industry Stakeholder 5

Facility Managers work within the mission and objectives set by owners of private facilities and Boards of not-for-profit facilities. Within an environment of constant change the owner or Board needs to take responsibility for providing direction and leadership as well as ensuring that policies and procedures are in place to support managers.

And if the Board, if it's like an organisation I was involved in, if you have a look at the agenda today as opposed to 5 or 6 years ago, it's incredibly different, because the Board has become more committed and more understanding and knowledgable about the day to day working of the organisation. If it's a single proprietor, one would hope the proprietor has a senior management meeting and is enlightened enough to build in within the person's job description and the respect for that position, but if it doesn't happen there, it's not going to happen in the rest of the organisation.
Facility Manager 9

The most commonly cited source of support by Facility Managers themselves was a senior person who could provide support and advice without taking responsibility away from the manager. This was found most clearly in organisations that ran a number of facilities and had a level of management between the Facility Manager and CEO levels. The person might have line responsibility for several facilities or may have a role such as accreditation or quality coordination.

A second way this support was provided was through peers within a larger organisation, where Facility Managers met on a regular basis and exchanged information and support. Several participants described how they were part of a group of facilities that had traditionally operated quite separately but were now beginning to work more as a unified operation. One of the benefits of this was that the Facility Managers were able to get more support from each other.

We have care managers meeting every few months, where we all get together, any problems, like I said with new systems that's where we bring them back and we'll sit around and have big discussions on…and it's taken on board. It really is. It's not like well, this is what you do and you forget about it. They actually do take it on board and will change things. So that's very…a good way for all care managers to get rid of lots of stresses and pressures that they've been feeling. Since you're in a group where they're all feeling the same thing and you know, you can air it. So that's very supportive

in that one. That's probably my main area really.
Facility Manager 6

The sentiment that was expressed by many people was the importance of 'having someone available at the end of the phone' who could be comfortably called on at any time to provide advice and support on a range of issues. The Facility Managers who missed out most on having this need fulfilled were those who did not have the capacity built into their organisation, particularly stand-alone facilities. In this case, some managers relied on consultants to provide this type of support, some relied on their own initiative by taking part in networks external to the organisation and others felt isolated and out of their depth.

Another form of support mentioned by a number of participants was mentoring. This was particularly used in the context of working under a senior person, often as a Deputy, and learning from the ways they manage this position. Mentoring was also put forward as a strategy that could be more actively pursued in the sector, especially for stand-alone facilities that did not have much internal support. In this case, the mentoring system would need to be managed through an independent body such as a professional association or university.

There were a number of other ways that organisations can provide support that were each mentioned by a small number of participants, including:

1. staff selection and induction
2. performance appraisal
3. exposure to outside organisations and networks
4. management development programs.

In terms of staff selection, the management of change could be built in more specifically to job descriptions of Facility Managers. The suggestion from several participants was that this sometimes happens on paper but is not actually followed through in the organisation – once the person is employed they are not supported in implementing change.

It must be a very frustrating thing, and I know it is because I've heard it from a number of different people… they sit in an interview and have a change management scenario presented to them. They deal with it, they know they have done it bloody well and then

> *they get the job, they go and nothing happens ..This is the way we do it here. Don't rock the boat! I've heard that's a constant source of frustration and that does tend to motivate people to say Hasta La Vista Baby there's something better, and I'm going.*
> *Industry Stakeholder 10*

In terms of induction, there were two main issues expressed. The first was the importance of being clear about the real underlying goals and philosophies of the facility and ensuring the new manager fully understands these.

> *I think also that that's really important that as soon as any new staff join the organisation that's it's part of your orientation process they become familiar with what the organisation's mission, vision and values are so that they know exactly what sort of an organisation they're joining and they know right from the word go what's our expectation as to how they will perform as employees and also they will learn about the commitment of the organisation in supporting them as employees.*
> *Facility Manager 2*

The second issue around induction was the importance of the employer matching the experience and abilities of the new Manager with the needs of the facility. Several of the participants had commenced jobs as Facility Managers with little experience and a lack of clarity about their new role. One participant in this position then only saw the owner once a year and had to stumble their way through much trial and error. In contrast, another Facility Manager in this position had extensive support in establishing herself in her new position.

> *They care very much about their people. Well for instance the General Manager had said to me when I came over here that he didn't care what it took to make this a success and if it took him coming over here with me on a daily basis he'd do so. I haven't had the need to call him but, I mean, it made me feel a whole lot better knowing that, you know, I was allocated all this help if I felt that I needed it so…*
> *Facility Manager 6*

Performance appraisal was suggested as another mechanism for providing support and direction to Facility Managers in the management of change.

> *I think, you know, making it [managing change] a part of your performance management review is probably the key thing. What we all like is our performance management review, because of the bonuses attached to it and making it part of your KPIs [Key Performance Indicators]… that would drive everybody wouldn't it. I think that's a fairly fundamental one … and then from that, if it's proper performance management review, then the general manager or whoever's doing it should be saying…look we're gonna build you those strategies but we'll find you the course, we'll, you know, mentor you in this area, you can go along to other facilities to look at der der der, and so that would actually drive it, and that drives it in a very pragmatic way.*
> *Industry Stakeholder 8*

The third form of support nominated by participants was whether or not their organisation allowed or encouraged them to participate in outside organisations and networks such as local DONs meetings, industry networks and professional associations. This was seen as a way of helping managers keeping up with trends in the sector and gaining professional and personal support for their work role. Again, like with most other practices in the sector, there was a big variation in how willingly each organisation encouraged their managers to participate.

The last form of support available to managers mentioned was what I have called management development programs. These are programs set up systematically to cater to a number of staff across the organisation, as opposed to single plans with individual staff members. The formats of management development programs vary in terms of content, structure and degrees of formality. They also vary in terms of how much they rely on structured or semi-structured learning activities in the workplace and formal study.

One large organisation put most of their managers through a Frontline Management Certificate. Another was in the process of conducting a skills analysis for managers with a view to setting up a program of workshops and seminars for them. A third organisation – which had the most comprehensive approach – supported all their managers through a Certificate for Frontline Management, then followed that up with two years of hands-on practical management training and leadership with an external facilitator. This training involved a full day every month for two years and aimed to develop their expertise in problem solving, communication and prioritising. The facilitator also spent time with non-managerial staff to help them understand what the Facility Managers were doing and appreciate the change in their roles and their development program. This same organisation is also putting six staff through an executive management training program which involves a monthly individualised program.

Support from sources outside the organisation

There were a number of sources of support for Facility Managers that were mentioned by participants. The main ones were:

- industry peak bodies
- management consultancy services
- informal networks
- local DONs groups
- professional associations
- universities.

All the facilities interviewed were members of one or both of the two industry peak bodies – Aged and Community Services and the Australian Nursing Home and Extended Care Association. Most participants suggested these organisations were responsive and helpful in answering most inquiries. Many people made use of training courses and conferences for themselves and other members of their staff. Several people complained the services were too expensive and therefore difficult to use. One participant stressed that these bodies represented the interests of owners and therefore would not be supportive of Facility Managers unless it was in the interests of the owners.

The main suggestions for how the industry peaks could be more supportive of managers were to: run short courses on the management of change and to incorporate discussion of change into other management-related courses; develop training courses that made greater use of experiential and action learning, rather than relying on didactic formats; sponsor more mini-conferences in regional areas; and develop industry-wide management development programs that would particularly be helpful to small facilities with minimal internal resources. These latter programs would be best done in collaboration with professional associations and universities.

Turning to the role of consultants, it was explained in Chapter 4.4 that a number of participants had used consultants. Their use might be short-term where there is a particular problem or a new program to implement. In other cases the consultant may

have a medium to long-term relationship with the facility, which focuses more on the training and development of the manager. This type of support is particularly helpful for facilities with minimal internal support systems.

> *But last year we called in a consultant because we're having quite a few issues had arisen here with organisational matters I guess and we had a consultant come in for a period of eight or 10 weeks a couple of days a week. And she acted like I guess as a mentor to us and she taught us a lot, like she is available now to us if we choose to, you know, make contact with her.*
> *Facility Manager 19*

> *When you work, if I don't understand something, I have to talk to another staff if they know. So most of the time I talk to [name of consultant]…I'll ring her. And if I have questions, when I've got some problems… I'll ring her and ask her what this is and how to solve this problem. And when she gives me some advice, this means she gives me a lecture… she already trained me… so now I know this…..*
> *Facility Manager 20*

A third source of external support for Facility Managers was informal networks. This appears to be a very important source, especially for managers in stand-alone facilities or organisations that do not provide much internal support to their managers.

> *I ring the other DONs and we all support each other and if something comes through and you've done something you'll give it to them. I mean I'm often giving them stuff that I've done and they just put it on the disk and away they go and say this is good it's all done. Well…why invent the wheel, I mean somebody does it so between us all…yeah that's what we do. I think that's been really good too…years ago we were very isolated, one facility you didn't work with another facility but now we all…I think it's made DONs aware that they can use each other's brains and each other's resources so that's been probably a very positive thing.*
> *Facility Manager 14*

> *It would be very hard… without the support from my friends, it's very hard. Sometimes you get some information from ANHECA or ACS… but this is not enough… because in our actual practice some problems you can't find the answers to the problem from the briefing … so I think without the friends around in this industry, it is very hard for me. It is very good I have two friends working in a very big nursing home as managing director and care manager there. So if I have some problem or questions, I ring them and they give me a very good answer because they have been in the industry for over 20 years and they are very experienced.*
> *Facility Manager 20*

Local meetings of Directors of Nursing (DONs) were introduced and explained in Chapter 4.4. These networks are semi-formal in that they are not set up or controlled centrally. Their existence, purpose and structure are determined on a local regional basis. There was a range of views about the usefulness of these networks, although most people saw them as playing an important supportive role, especially for Facility

Managers from stand-alone facilities. There were no ideas put forward about how these networks could be used differently to provide greater support to managers.

The professional associations that were mentioned by participants were Geriaction, the College of Nursing and the Australian Association of Gerontology. Of these, Geriaction has the most direct relevance to Facility Managers in aged care, as its members are mostly registered nurses working in aged care facilities. Geriaction provides a calendar of educational courses and conferences and plays a policy advocacy role as well. The main suggestion arising from the interviews about extra roles to support managers was to do with setting up a management development and mentoring program, probably in collaboration with a university and possibly with an industry peak body as well.

The university sector has taken an increasing role in the residential care sector over recent years. Most instances have involved some form of partnership with an aged care provider organisation. Examples of this that were mentioned in the interviews included programs offered by Edith Cowan University, University of Newcastle, University of Western Sydney, Australian Catholic University and the University of Tasmania. These programs are at an early stage and most participants either did not know about them or had only very general information.

Increased participation of the university sector was seen as an important way that Facility Managers could get more ongoing support in their role. The universities need to keep partnering with aged care providers and industry peaks to ensure the content and structure of their courses are relevant to the sector. They need to be aware of the obstacles that Facility Managers face in deciding to undertake formal study. These include: lack of time, pressure from commitments to work and personal life, financial costs, possibly a lack of formal study in the past, possibly unsupportive employers, and lack of clear career advancement for some people. A promising model reported by one participant is where the university provides courses on-site and the employer shares costs with the staff members.

Discussion: how should support be provided and by whom?

There are three issues I will focus on in this discussion: the lack of substance and structure in how Facility Managers are supported within the sector as a whole; lessons from the literature about supporting managers; and suggestions about how these lessons could be applied to this sector.

One of the themes that comes through most strongly in the interviews is the large variation in the ways that a Facility Manager's position is supported across the sector. Many managers have been put into their role with minimal preparation and with minimal ongoing support. Many have been lucky enough to learn about management by working under a senior person who has acted as a role model and coach. Some of these managers are working in organisations that provide ongoing support while others have found the support they need through the use of consultants or external networks. A very small number of managers are part of organisations that provide a comprehensive and wholistic management development program. Most Facility Managers have learned their role through an informal management development process that Thomson et al (1997) refer to as a learning curve doing the job.

A number of participants spoke about having mentors but there was little evidence of any systematic approach to mentoring within the sector. When people used the term 'mentor' this was often referring more to role models. Role models are more experienced managers that the person was learning from by observing, whereas a mentor normally has a more direct and ongoing relationship of support and development (Theobald & Mitchell 2002).

> *I think it is pretty sink or swim. I mean an organisation I worked for talked about having mentors and they had nothing documented about what the role of a mentor was nor the person being mentored. So, you know, but they were very proud that they had a mentor program. So, you know, it's a bit…not flippant…but certainly it's a bit glib where, you know, there's not a structured program for new managers.*
> *Industry Stakeholder 8*

> *When I started, I had informal mentors, you know, I had other Directors of Nursing that I would ring up and say look this has happened, this is what I think I should do, what do you think? This was like peer advice mentoring… but there's not a lot of formal*

mentoring, I don't know why.
Industry Stakeholder 19

While most Managers spoke about learning through experience, for many there was little structure or direction in this and it was largely by trial and error. This situation in this sector is similar to that presented by Woodhall (2000) who found that Human Resource Managers were enthusiastic about work-place learning but could not explain how this actually happened and ended up suggesting it was mostly by chance.

In the context of management development that focused on the management of change, there is minimal evidence from the interviews that this has been addressed in any systematic way by organisations in the sector. This is consistent with the findings of Buchanan, Claydon and Doyle (1999) that most organisations did not provide any form of systematic development in change management expertise for their managers. Doyle (2002) also suggests that:

> *What has become clear from the evidence presented in this paper is that individuals have sought to develop change expertise but the methods they have used are inefficient and are heavily biased to learning through trial and error. A more explicit organisational focus to develop change agents from novices to experts should be included in future HR strategies.*
> *(Doyle 2002, p.480)*

In summary I am suggesting that management development and support within the residential aged care sector, specifically associated with the management of change, is under-developed, has no clear standards across the sector and relies mostly on informal methods. The limited research that has explored this issue in other work settings has come to similar conclusions, so there is no evidence that the residential aged care sector is particularly different from other settings in this regard.

I wish to turn this discussion to a consideration of the literature on management development to see if it can provide any suggestions for improving this situation. Stuart (1995) makes a number of recommendations for how organisations can support managers in their efforts to respond to change initiatives. He begins by emphasising the importance of communication that is timely and open, and which goes beyond a one-way exchange of information to be a dialogue that really hears people's concerns. Training can help people develop a contextual understanding of what is happening around them as well as provide specific skills relevant to their needs. Training can focus

on the personal journeys of managers and help them understand the processes they and others around them are going through.

This kind of facilitative processing can be done with individuals or in a group setting. Stuart cites the work of Hodgkinson and Stewart (1991) who encourage the role of organisational leaders in promoting an open attitude to vulnerability and emotional expression. They do not ignore the need to remain task-oriented but suggest this can be achieved while still acknowledging the pain and grief that may accompany change in the workplace. Stuart recognises the importance of training, communication, preparing people for change and providing a supportive climate for change. However, he stresses that:

> *Above all, however, the most powerful entry point and lever for aiding organizational change must be to reach, influence, develop and support those leaders in the organization who are facing up to the realities of what change looks like on the ground and who consequently are moving beyond organization design and into organizational development.*
> *(Stuart 1995, p.83)*

Doyle (2002) puts forward a number of key points about how organisations can support the 'change novice' to become a 'change expert':

- recognising that novice change agents may be capable in their original job but not have the added knowledge, skills and expertise required in their new role as a change agent
- making the development from novice to expert explicit in human resource strategies such as appraisal processes
- not relying too much on formalised, structured training programs but putting more emphasis on experiential methods – especially if they are under the guidance and supervision of mentors and coaches
- 'seeding' the organisation with experienced change experts who can be a resource to less experienced staff.

In a further point, Doyle suggests: "It is not enough to capture past experience. Organisations must find a way of translating that experience into forms of learning and knowledge that inform and guide change management." (Doyle 2002, p.474).

Management development programs on change need to emphasise the importance of acknowledging the emotional aspects of change rather than focusing on the technical or structural aspects (Broussine et al 1998; Doyle 2000). Such programs must also move beyond a narrow technical approach to change management to a more wholistic approach that addresses structural, cultural, political, emotional and psychological issues involved in change (Doyle 2000).

The third area of discussion is how to apply lessons from the literature to the current research question – how best to support Facility Managers in the management of change. It has been suggested above that management development and support across the sector as a whole, particularly in regard to the management of change, is under-developed, has no clear standards across the sector and relies mostly on informal methods. It is useful to capture some of the key characteristics of the sector that may help explain why this is the case.

There are around 3,000 aged care homes across Australia. A central characteristic of the sector is that these homes vary greatly in size, ownership, dependency of residents, level of infrastructure and financial support, and management philosophy and practice. Around 75% of the homes have 60 beds or less. While many of these are part of a larger umbrella organisation, many others are stand-alone homes with minimal infrastructure and management support. There have been chronic problems of recruitment and retention of staff, partly because of a general shortage of nurses and partly because of the relatively low pay and stressful working conditions in many homes. There has not been a long history of professional management in the sector because of its evolution from the church and charitable sector and its historical reliance on a medical-nursing model of care.

To counterbalance the problems of the sector, it is also important to highlight its strengths. One of the most important of these is the resourcefulness of managers and other staff, which is demonstrated in their willingness and ability to develop informal and formal networks of support when these are not immediately available. The sector has been characterised by a strong history of collaboration between providers, the industry peak groups, professional associations and government bodies. There are also

an increasing number of collaborative relationships between universities and aged care provider organisations, some of which have a focus on management development.

There are several major challenges confronting the sector in improving the development and support of managers. These are:

- convincing the owners, Boards and Executive Managers of organisations (referred to collectively from hereon as Executive Managers) that it needs to be a priority
- finding ways to make informal workplace learning more systematic and transparent
- developing systems that are relevant and accessible to the variety of organisations and managers within the sector.

The findings of this research are consistent with the work of Buchanan, Claydon and Doyle (1999) who found that the role of the change agent was poorly understood, defined, recognised, supported and rewarded. They described a paradox whereby the role of managing change is seen as crucial to the organisation, yet little effort is made to understand and support this role. The starting point for Executive Managers is to acknowledge this paradox and attempt to resolve it. It is important for Executive Managers to accept that providing more support to Facility Managers is not a 'soft' approach to just helping individual managers. While this aspect is important, it is also about providing a structure that maximises the chance of change initiatives achieving 'hard' outcomes such as the implementation of new structures or outputs.

A second point for Executive Managers is the importance of understanding the management of change from the point of view of the Facility Manager. The general approach to change that has been found in this sector accords to a rational, planned approach. This is based on a linear model of planning, communicating, implementing and evaluating change. This rational view does not account for the 'lived experiences' of the individual managers who will all be experiencing this process in different ways.

Executive Managers will take notice of these issues if the relevance is pointed out to them in ways that are meaningful to them and they can see practical ways they can

move toward improving the situation. They need to develop a comprehensive set of policies and procedures to support the management of change. These need to be complemented by a comprehensive set of policies and procedures about management development and both sets need to be incorporated within an overall human resource system that is appropriate and relevant for each organisation (Burnes 2003). Such policies and procedures can cover areas such as staff selection and recruitment, induction and orientation, performance appraisal and management, strategic planning, and training and development.

A second challenge confronting the sector is how to make informal learning processes more systematic and transparent. Clearly the way that most Facility Managers learned to manage change was through experience on the job. This is consistent with a range of literature that stresses the value of experiential learning as opposed to 'learning in a classroom' (Kolb 1984; Boud & Walker 1991; Marsick & Watkins 1990).

While learning in the workplace is accepted as a legitimate and effective form of learning, the accounts of participants in this research suggest that 'learning from experience' can be a smokescreen for not learning much at all or in fact learning inappropriate attitudes and skills. There was little evidence across the sector as a whole that conscious efforts were made to promote and support learning from the day-to-day experiences of Facility Managers. This is not surprising in view of the lack of a conscious approach to change management, the unstructured approach to management development, the lack of a strong management tradition within the sector and the time-pressured and stressful conditions that most Facility Managers are working under.

Executive and Facility Managers need to set up systems that use the experiential learning foundation that is familiar to the sector, but apply an increased degree of accountability and structure to this foundation. This means having clear written guidelines and overt, active implementation of systems such as performance management, coaching, mentoring, job rotation, team-based project work, action learning sets and individual development plans.

Beyond providing a greater degree of substance and transparency to these normally informal (and sometimes therefore non-existent) activities, organisations can develop even more structured management development programs. These may involve regular meetings over a period of time with a senior manager or outside consultant working through a more or less structured program. Such programs should be closely aligned to the day to day work context of participants. In some cases these may be offered in collaboration with a university or registered training organisation (RTO) so the participants can get some form of official recognition for their involvement.

The third challenge facing the sector is developing systems that are relevant and accessible to the diverse range of organisations and managers within the sector. The larger organisations are well placed to develop systems as discussed above as they normally are well resourced with management and education staff and infrastructure. The main problem is with smaller stand-alone homes that do not have such infrastructure support. This is especially the case if the homes are in rural and remote areas, without easy access to outside support.

Fortunately it has been demonstrated in this project that many Facility Managers are willing and able to find their own support through formal and informal networks, industry peak bodies and consultants. If the Executive Managers of these smaller organisations can allocate a greater priority to supporting managers in the management of change, they should be able to at least focus on performance management and helping the manager set up and maintain some form of coaching and mentoring relationships. Beyond that, there is an important role that industry peaks and/or professional associations and/or universities can play in setting up mentoring networks as well as more formalised development programs that managers from smaller organisations can participate in.

4.6: Conclusions to Chapter 4

Methodological context of the research

This study has been conducted using a constructivist methodology. The purposes of the study have been to gain an understanding of the experiences of Facility Managers through their own eyes and those of senior Industry Stakeholders; and to develop proposals to assist in the management of change within the residential care sector. The constructivist approach is not testing a specific hypothesis, nor is it seeking black and white answers. Rather it is attempting to shed light on a complex area of professional practice.

The fact that such an approach is exploratory and interpretive also means that I cannot make claims of 'truth' and generalisability of my findings. It could be argued that the study is based on retrospective views of a small sample and that the construction of themes is just a subjective reading of the interview transcripts. While accepting fully that the analysis and conclusions are in fact an interpretation, rather than some sort of external, provable reality, I have made every effort to maintain a high standard of qualitative research, as proposed at the end of Chapter 3.2.

I have used two separate samples – Facility Managers and Industry Stakeholders – to help build a 'bigger picture' of the situation within the sector. Within the Facility Manager sample I have ensured there was a mixture of participants in terms of geographical areas, high and low care, private and not-for-profit and different size homes. Within the Industry Stakeholder sample I ensured there was a mixture of interests represented, with the inclusion of participants from industry peaks, Executive Managers of private and not-for-profit organisations, professional associations, trade unions and consultants. With both samples I continued to conduct interviews until I was clear that a 'saturation point' had been reached, in that additional interviews were not coming up with new issues.

Based on a study of the literature on interviewing within qualitative research, I developed a set of criteria for successful interviewing (Appendix 2) that I used as a

standard for planning and conducting the interviews. All interviews were tape-recorded and fully transcribed. Transcripts were sent to participants to provide them with feedback to the interview and so they could check their accuracy and add to or clarify anything that had been said during the interview.

I have used methods, conducted the analysis and drawn conclusions in ways that are consistent with a constructivist methodology. I have demonstrated reflexivity in the research process by making clear the experience, worldview and values that I bring to the project. I have given a detailed explanation of the procedures followed in analysis as well as a clear statement of ethical issues and how I have dealt with these. In drawing on the interview transcripts, I have not intimated that I am speaking for the participants. Rather I have presented my interpretations as constructions based on the interactions between myself and the participants.

So what 'truth status' can I claim for the answers I will now propose to my research questions? I make no claim to any form of absolute 'truth'. I do claim the answers to be an insightful explanation of a complex issue of professional practice. Ultimately the answers are my subjective interpretation, but I argue for their value in terms of the thoroughness and transparency of the process in reaching these answers, their consistency with similar research and their usefulness in providing signposts for improving the problems in this area of professional practice.

Answers to the research questions

How is the role of managing change perceived and understood within the overall role of Facility Managers?

There is a clear and widespread perception that the management of change is an important part of a Facility Manager's role. However, there is a less clear understanding of how the management of change actually fits within the overall role. Accounts of Facility Managers suggest that managing change is taken for granted as just 'part and parcel' of what they do. On the other hand, Industry Stakeholders suggest that many

Facility Managers do not take on the role of managing change easily and some are not aware of the need for extra training and support in this role.

Part of the reason there is not a clear understanding of the Facility Manager's role is that the management of change cannot be neatly dissected from other parts of the manager's role. There is no straightforward set of knowledge or skills that are qualitatively different from the general knowledge and skills required by managers that are universally accepted as defining the role of change manager. How managing change fits into the overall role varies between individuals and organisations. However, attempts have been made to clarify the role of managing change and this will be explored more fully in Chapter 5 of this thesis.

A second reason there is not a clear understanding of the Facility Manager's role is that most organisations take a rational linear approach to the management of change – which does not acknowledge the 'lived experience' of managers and other stakeholders. The 'lived experience' is actually what is happening, as opposed to the formal, stated account of what is happening in the organisation. As long as the 'lived experience' is ignored, there will continue to be a confusion and lack of understanding about the nature of change management, including the role of the Facility Manager.

The combined effects of the lack of clarity about how the role is defined, along with the failure to acknowledge the personal perspective of managing change means that there is not a clear understanding of how the management of change fits within the overall role of the Facility Manager. Detailed analysis of, or discussion about, change management remains in the background of management thinking and practice within the residential aged care sector. This is at odds with the fact that most participants say it is important and that more attention needs to be focused on the role of change manager.

This is a paradox referred to by Buchanan, Claydon and Doyle (1999) in that the change agent role is viewed as critical to success but little is done to acknowledge and support the role. It is suggested that in residential aged care this paradox can be overcome by bringing discussion about change management out of the background and into the

foreground of management thinking and practice. Specific ways this can be done will be explored fully in the following chapter of this thesis.

How is the role of managing change approached by Facility Managers?

There is some common ground in the ways that Facility Managers describe their approach to managing change, as well as a fair degree of variation. A common framework for their approach includes: having a clear understanding of the issue that needed to be changed; consulting with key personnel, such as an Educator or Deputy Manager; developing an implementation plan; communicating the changes to staff; allowing staff to have feedback and input to the changes; evaluating the impact of the changes as they occur; and being prepared to adjust their actions based on the evaluation and feedback.

This common framework is in accord with what the management literature would call a planned, linear approach to change. The descriptions do not demonstrate a comprehensive or sophisticated understanding of, or approach to, change management. This is not a criticism of Facility Managers but more a reflection of the fact that the management of change has not been in the foreground of management thinking and practice in the sector.

Beyond this generic approach to change, there was variation in how comprehensively and analytically the Facility Managers described their approach. This was in keeping with input from the Industry Stakeholders who expressed a strong view that there is a range of understandings of, and abilities in, change management among Facility Managers. The variation in espoused approaches can be partly attributed to individual differences such as educational levels, amount of experience and personal attitudes to change; and partly to organisational differences such as the cultural attitude to change fostered through the organisation, the amount of autonomy given to the Facility Manager and the levels of support available to the manager.

Facility Managers typically used terms like ‘consultation’, ‘participation’ and ‘communication’ to describe their approach. It is suggested that people can apply these terms quite differently and it is important for managers to be able to give a detailed and critical account of how they use these terms.

How do Facility Managers learn to manage change?

The most common pathway into the Facility Manager’s position is from a background of a clinical worker in the aged care home rather than from a background in management. The main way that Facility Managers learn to manage change is through experience on the job. While this can be a positive form of learning, it largely occurs in this sector in an ad hoc and unsystematic fashion and there is minimal use of structured or semi-structured learning methods. It is not possible to know how many managers have formal management training or what forms of management development are used in the sector, as surveys on these issues have not been done. Evidence from this small sample is that a small but growing proportion of Facility Managers either possess or are undertaking some type of formal management training. There are also indications that some of the larger organisations in particular are beginning to take a more purposeful approach to the training and development of managers.

Managers in the sector have a strong tradition of using formal and informal networks of peers to support their own learning, which need to be encouraged and nurtured. While formal education and self-study are both important, it is suggested that any form of education works best if it is combined with at least semi-structured learning in the workplace and supportive management systems.

There is a large variation in whether and to what extent organisations help managers to learn how to manage change. The short case studies presented in this research highlight the different learning journeys that managers had been through; and how several had received minimal support from the management culture and practices of their organisations. Aged care organisations and key stakeholders in the sector need to ensure that all managers have access to a supportive learning environment. Some ways of providing this will be explored in the following chapter.

Do Facility Managers need to be supported in their efforts to manage change and, if so, how should that support be provided, and by whom?

There is strong evidence that Facility Managers do need more support in their efforts to manage change. This is partly because virtually all participants believe this is the case. It is also because many Facility Managers suffer personal stress because of the difficulties they experience in managing change, which affects both their personal life and their performance as managers. A further reason is that there will be ongoing difficulty recruiting and retaining managers unless there is better support provided. A last reason is predicated on an earlier finding of this project – that the management of change needs to be brought more into the foreground of management thinking and practice in the sector. Providing more explicit support to managers would be one way of achieving this.

In discussing the personal stress on managers, it is acknowledged that the management of change cannot be neatly separated from other aspects of the manager's role. The connection between the management of change and other aspects of the manager's role is by nature a messy and ill-defined one. There are many factors in the sector that contribute to the stress felt by managers. However, the accounts of participants still indicate that problems associated with the management of change are a major cause of stress and that much of this could be avoided with more support.

In terms of how that support should be provided and by whom, there are a number of useful findings from the study. The starting point must be with Executive Managers, including private owners, Board members, CEOs and other senior managers. Executive Managers need to accept that the management of change is an issue that has been largely taken for granted and not dealt with openly and comprehensively. They need to develop a deeper understanding of change that goes beyond the rational, linear explanation that is the common approach in both mainstream and popular management literature. In particular, they need to appreciate that the management of change is a personal journey for each manager; and the outcome for the organisation is dependent

on understanding and supporting that personal journey rather than seeing the change program only as an objective, rational process.

The Executive Managers can develop a range of policies and procedures that more explicitly builds in this understanding of change management. Areas that have been highlighted in this study include staff selection and induction, performance appraisal and management, individual development plans, leadership development, succession planning, participation in external and internal networks, and management development programs.

This study has found that the major way Facility Managers learn to manage change, as well as other aspects of their position, is by experience on the job. While this form of learning has many positives it also has substantial negatives. The learning is ad hoc, unsystematic and very dependent on the infrastructure, support and management practices of each organisation within the sector. Some managers navigate their way through this journey with reasonable success while many others either drop out or else end up feeling embattled and frustrated.

It is a major challenge for the sector to build on its experiential learning tradition by introducing a greater degree of structure and accountability to the learning process. Having written policies or paying lip service to these issues are not enough. As well as having policies and procedures as discussed above, there needs to be explicit commitment to, and implementation of, programs that support learning from experience, such as mentoring, team-based project work, debriefing sessions, action learning sets or learning circles, job rotation, as well as structured management development programs.

An important characteristic of this sector is that many aged care homes are small and are lacking in management and educational infrastructure, resources and support systems. While larger organisations are well placed to implement the suggestions made here, it will be difficult for the majority of smaller organisations. This means there is an important role for industry peak bodies, professional organisations and universities to set up mentoring programs and management development programs that are accessible

to smaller organisations. There is a healthy tradition of collaboration between these groups and every effort should be made to support and build on this tradition.

Findings in relation to the literature

Although this research has drawn on a very extensive review of the literature on change management, there were very few studies that specifically examined the experiences of managers themselves. The only studies that were based on similar research questions were those of Stuart (1995; 1996) and the Organization Development and Change Research Group at De Montfort University, UK (Buchanan & Badham 1999; Buchanan, Claydon & Doyle 1999; Doyle, Claydon & Buchanan 2000; Doyle 2001; Doyle 2002; Buchanan 2003). The findings from the current study are consistent with both Stuart and the De Montfort group.

Stuart's work emphasised the importance of understanding the change process in terms of how it was experienced by individual managers. His interviews revealed the fact that these individual experiences were quite variable and many were associated with negative emotions such as anxiety, anger, fear and disrespect. The De Montfort group also described the importance of the 'lived experience' of managers. An important conclusion from their work is that the role of change agent is poorly understood, recognised and supported in many organisations. This is in spite of the fact that most commentators acknowledge the impact of ongoing change on their organisations.

The contribution of the current study to the literature is threefold. It adds to the small body of research on the experience of managers by examining the issues in a different target group and in a different country. Secondly, the study begins to fill a largely empty hole that represents research on management within the residential aged care sector. Thirdly, and probably most importantly, this study goes beyond the existing research on the experience of managers by drawing together the findings and the literature of change management to provide a number of practical proposals on how the management of change within the sector can be dealt with more positively and effectively. These proposals form the basis of the following chapter of the thesis.

Regional issues

As part of the sampling strategy, Facility Managers were equally drawn from three demographically different parts of Sydney and a country region. There were no clear differences in the responses of Facility Managers from different parts of Sydney. In terms of managers from the country region, there are not straightforward differences between the city and country. This is because the city:country difference is only one factor among many – such as differences in size, ownership, whether the home is part of a larger network and the experience of the Facility Manager. For example, some country homes are small but are part of a larger organisation, so may have better infrastructure support than a small stand-alone in the city.

While there are not straightforward differences in the experiences of Facility Managers in the city and country, there were a number of issues identified that impact on the work of Facility Managers in country towns. Some of these are positive, such as the strong sense of community support that is often found in country towns. This may be seen in the staff being very committed to quality care because they have long-standing relationships with many of the residents. It is also seen in a willingness to either develop or defend local aged care homes by committee work, lobbying, raising money or contributing directly to building works.

On the negative side there are factors that make the work of Facility Managers in the country more difficult than for their city counterparts. It can be difficult getting access to formal training courses as well as more informal industry network meetings that help managers keep up to date. There may be problems recruiting and retaining managers and other staff. Many smaller towns have a shrinking pool of community members who can participate in Committees and Boards. This is compounded if the town is in economic decline and there is an exodus of professional or business people who would normally participate in such Committees or Boards. There can be a significant issue in smaller towns of the manager not being able to debrief to anyone other than their family because of confidentiality issues.

Chapter 5: Ways forward in the management of change in the residential aged care sector

5.1 Introduction to Chapter 5

Whereas Chapter 4 focused on the research questions concerned with the experiences of Facility Managers, this chapter explores how the residential aged care sector can move forward positively in how it approaches the management of change. It draws together the findings from the interviews, the extensive literature reviews from Chapter 2 and some new aspects of literature that have emerged as relevant from the outcomes of the interviews. It provides a platform for the translation of the research findings into everyday practice.

A key finding of this study is that the management of change has been in the background of management thinking and practice in the residential aged care sector. One reflection of this is that the management of change is an aspect of the Facility Manager's role that is poorly understood and supported, even though these managers have a central responsibility in the change processes that the sector has been going through.

Furthermore it has been argued that there will be more positive outcomes for Facility Managers, aged care homes and the sector generally if the management of change can be brought more to the foreground of management thinking and practice. This chapter presents a number of ways that this can be achieved, under the following headings:

- General principles in the management of change
- The change management role and competencies of Facility Managers
- An analytical model for the management of change
- Management development practices supporting the management of change.

5.2: General principles in the management of change

Introduction

Putting forward a set of principles is a useful starting point in any discussion about the management of change. It provides a general outline, rather than a detailed map, of how the person will approach the change process. It encourages the person to become aware, and to take account, of the underlying beliefs that will shape the decisions they will make along the way. Having a statement of principles allows the person to have a consistency and coherence in their approach. It also helps them communicate their approach more clearly to other stakeholders.

Clearly, there is not one best set of principles underlying the management of change. The principles articulated by each person will reflect their personal worldview and their understanding of the key issues and priorities in the management of change. The following section outlines what I consider to be a useful set of general principles. While these principles are largely based on an extensive analysis of the literature, they also reflect aspects of my personal belief system, such as the importance of inclusiveness and non-economic outcome measures.

This set of principles is proposed as a framework for reflection and discussion. Managers and others are invited to consider these principles, accept or challenge them and put forward a version that reflects their own views.

The principles

Be clear about your approach and take responsibility for communicating this

The quest is not to find the 'one right approach' to managing change. Nor is it to follow a specific 'theory of change' from the literature. The real challenge is for managers to be aware of and to acknowledge their underlying attitudes to, and beliefs about, change.

Problems arise when managers take actions without understanding why they have done so, without thinking through the consequences of these actions and without communicating their reasoning to those affected by the changes. What happens in this case is that those affected then react in terms of their underlying attitudes and beliefs and a situation evolves where there is no open communication and many issues remain unresolved.

While there may be some evidence of change happening in the short-term, this situation will mean that there may be a number of negative accompaniments to the change process that could have been avoided. It also decreases the chances of the change initiative being successfully followed through and completed in the long-term. Managers need to articulate and explain to other stakeholders how they are approaching the management of change. This will promote a transparency and an opportunity for all parties to at least have a common framework for discussion, rather than being passively stuck in their own mindsets.

Accept the importance of the personal experience of undergoing and managing change

Most accounts of managing change portray the process as a rational, linear process. These accounts suggest varying numbers of steps that a manager should go through to achieve the desired outcomes. Failure to succeed in the change program is typically explained by the manager not following all the steps in the model. As has been argued in this thesis, the actual 'lived experience' of managers (and other stakeholders) is rarely examined. Unfortunately, the failure to acknowledge the experience of managers leaves a large gap in any understanding of the change process. Many issues will remain unresolved and will decrease the chances of successful completion of the change process.

A better outcome can be achieved if the Executive Managers who are responsible for supervising Facility Managers work with them openly to gain an understanding of the Facility Manager's concerns and needs and how these can be constructively addressed.

Acknowledge the political context and consequences of change

Organisational change initiatives are mostly driven by the needs and agendas of one group of stakeholders, typically the owner or Executive Management. In the residential aged care sector, much of the push for change comes from government regulation and funding requirements. Change initiatives are not always in the interests of staff and sometimes are not in the best interests of residents. In the words of one of the research participants: "Crap it's about older Australians - it's all about meeting a budgetary line the other end". It is better to acknowledge this, rather than promote a script that 'All change is good' and that those who do not agree are 'resisters' who have to be bullied and cajoled into believing that the change is good.

A number of Facility Managers in this study listened to the concerns of staff and explained why the changes had to happen, even if they did not fully agree with them. Staff were more willing to go along with the changes once they felt genuinely heard and they understood the changes were for the good of the overall organisation. This approach accepts that change is messy and that there may be a number of competing agendas that cannot all be neatly resolved. At the same time, it represents an honest approach that treats staff as reasonable adults rather than expecting them to either gullibly accept the changes or automatically resist them.

Put an emphasis on planning but do not put all your faith in it

Planning is widely accepted as one of the cornerstones of good management. Most of the literature on change management stresses the importance of planning. While planning is essential, the literature on emergent change has demonstrated that planned change rarely unfolds in the way it is intended to. Models of planned change do not address the complexity of the change context and the fact that new circumstances will continue to arise during the change process.

Managers who use a planned approach to change can incorporate some useful insights from emergent theory. They can accept that the change process is unlikely to be straightforward and linear, but more likely to be complex, iterative and messy. They

need to have flexible mechanisms for constantly reviewing and updating plans as unanticipated events occur. They need to take a longer term and more comprehensive approach to change, rather than putting all their effort, for example, in the initial implementation and then assuming the plan will just look after itself.

Be aware of and acknowledge the emotional consequences of the change program

Any program that aims to make a specific change in an organisation will almost always have consequences other than the intended ones. Extending the role of one group of staff may lead to resentment by another group. Cutting back on night staff may mean a healthier profit but may also mean there has been a drop in resident care and/or low morale among remaining staff. Within the residential aged care sector, managers need to be aware of the emotional impact of change on residents and their family carers. The literature review in Chapter 2.1 suggested that the emotional consequences of change are often not acknowledged. The review also suggested that paying attention to the emotional consequences of change programs should not be seen as a 'soft' altruistic act, as it can lead to improvements in 'hard' outcomes such as productivity, absenteeism, staff turnover and staff morale.

Those responsible for organisational change need to step back and take a wholistic view of what impacts the change is having on the organisation. It may be that there are a number of negative consequences that do not justify the change program. It may be that the need for change is so great that negative consequences have to be accepted. It could also be that a number of these negative consequences could be prevented or ameliorated while still maintaining the change program. Which one of these three alternatives is the case will not be known unless the management looks beyond the obvious intended outcome to make a more wholistic analysis of the change process and outcomes.

Understand that change comes in all shapes and sizes

It is important to understand that change presents in many different forms, so there is no value in having a single or universal approach to its management. Change can be small-scale, technical and affecting only one part of the organisation or it can involve

fundamental shifts in the whole organisation. There may be great urgency attached to the change or it may be something that has a low priority. Change may be in the interests of very few people in the organisation or may be embraced by all as a positive development. There may also be a number of quite different change processes occurring side-by-side in the same organisation.

Problems can occur if people within an organisation have different understandings of what a change initiative means. It is important for managers to properly analyse the nature of any change initiative and then to communicate this understanding to other stakeholders. This will facilitate a framework for discussion that will lead to the development of a common understanding or at least clarity about different views.

Maintain a balance between change and continuity

Change in some form or other is a constant theme for contemporary organisations. Managers need to establish practices and systems that help their organisations to be responsive to changes in their external and internal environments. They need to promote a culture that is open to and supportive of change. However, they also need to protect the organisation from a sense of relentless change. It is important that the positive ongoing aspects of the organisation are acknowledged and rewarded.

Recognise the complementary roles of leadership and management

Leadership and management are both needed to successfully manage change. Change initiatives can flounder if there is weak leadership from senior managers and other key stakeholders in the organisation. They can also flounder if there is strong leadership but a lack of management practices to sustain the change programs. While there is no single best style of leadership, managers need to be aware of the strengths and weaknesses of their own style and make allowances for these.

Ensure the approach to change is relevant to the organisation and the sector

One of the recurring issues within this study was the great variability between aged care homes in terms of size and support structures. Many smaller homes in particular do not have resources such as access to internal consultants, middle management support or accessible educational opportunities. It is vital that any approach to change management that is advocated reflects the characteristics of the individual organisation and the sector generally.

Do not treat managing change as a taken-for-granted part of a manager's role

How the role of managing change fits within the overall role of a manager has had limited critical examination in the management literature. This study has found that the manager's role in change tends to be taken for granted as just part of their normal role. One consequence of this is that there is then an assumption that the manager will be competent in managing change just by virtue of being a manager. How managing change fits within the overall role of the manager depends on both organisational and individual variables. The former involves the degree of responsibility that the Executive Management allows and expects from the Facility Manager, how change is managed across the organisation and how much guidance and support is provided to managers. The individual variables include the experience, understanding, confidence and competencies of the manager.

Rather than taking change management for granted, the Executive Management needs to openly discuss and negotiate with the Facility Manager how the management of change fits into their role. At the same time they should assess the Facility Manager's experience, skills and confidence in managing change and relate these to what is required in that organisation at that time. If there is a gap in this, the Executive Manager should work with the Facility Manager to enable her/him to develop the necessary experience, skills and confidence that are required. This may involve going outside their own organisation to gain access to the training and support that is needed.

5.3: The change management role and competencies of Facility Managers

Introduction

One of the key questions underlying this research has been how the management of change fits within the overall job role of Facility Managers. An associated question is what competencies might a Facility Manager need to be able to successfully manage the many changes they have to deal with. This section will begin with a review of literature that has explored the qualities or competencies involved in the management of change. It will then return to a discussion of the change management role of Facility Managers and finish with the proposal of a set of change management competencies for Facility Managers.

Literature on change management competencies

Buchanan and Boddy (1992) used diary transcripts from a group of change agents to identify 15 competencies of change agents, clustered under five units: goals, roles, communication, negotiation and managing up. The image of the change agent that they present emphasises interpersonal, social, organisational and political skills rather than technical project management skills.

Carnall (2003) identified four core competencies that are essential for the effective management of change: decision making; coalition building; achieving action; and maintaining momentum and effort. The importance of leadership in the initiation and management of change has also been stressed (Kotter 1990, 1996; Caldwell 2003), with an emphasis on establishing direction, aligning, motivating and inspiring people (Kotter 1990).

Buchanan and Storey (1997) suggest that change drivers function in several overlapping roles, which they describe as:

- visionary, catalyst, ‘mover and shaker’

- analyst, compelling case-builder, risk assessor
- team-builder, coalition-former, ally seeker
- implementation planner, action driver, deliverer
- fixer-facilitator, wheeler-dealer, power broker
- reviewer, critic, progress-chaser, auditor.

Emotional and interpersonal qualities involved in the management of change are important. Managers need to be able to tolerate risk and ambiguity as they negotiate their way through the change process. They need to promote open communication and dialogue if they want organisational members to really own the change program. This means at times they must be able to accept and work through criticism and conflict (Burnes 2000). Doyle (2002) emphasises that change agents need emotional resilience and psychological hardiness as they often have to cope with role ambiguity and conflict, initiative fatigue and stress.

Change management role of Facility Managers

There are a number of key issues that need to be made clear at the beginning of this discussion. The first issue is that the role of change manager must be understood within the context of the organisation, rather than being understood just in terms of a set of qualities, skills or competencies of an individual manager. The role of the Facility Manager will be strongly influenced by how much they are seen and treated as senior, middle or frontline managers; and by the amount and level of responsibility that each manager is given by their organisation. Traditionally, the management of change has been seen most clearly as the role of senior management. Problems are likely to arise if the responsibility for change is devolved down to frontline managers without this being clearly stated, negotiated and supported through other management structures and practices.

The second issue is that managing change is not an ‘all-or-nothing’ phenomenon. Change comes in many shapes and sizes, and the skills required to manage any specific change situation will vary greatly with the complexity and severity of the situation. General management skills such as planning and communication may be adequate for

small scale or technical changes. However, more sophisticated analytical, political and interpersonal skills will be required if the change is complex and contested by stakeholders within the organisation.

The third issue in understanding the role of Facility Managers is that – while managing change is strongly influenced by the organisational context – it is also very much a personal experience. An important implication of this is that individuals can exercise choice as to how much they take on the role of managing change. Buchanan and Storey (1997) suggest that individuals play different roles in the management of change as their understanding and definition of the situation shifts. Such decisions are influenced by the type of change, the timing of the process, what other actors are involved and what the individual may gain or lose through their involvement in the change management process.

The fourth issue impacting on the role of Facility Managers is the fact that change management has not been addressed explicitly as part of the role of Facility Managers – through job descriptions, selection criteria, performance appraisal, management development or other management policies and practices within the sector. There is a clear expectation that Facility Managers will have management skills such as planning rosters, managing budgets, supervising staff, overseeing quality care of residents and managing small-scale, technical change. There is not such a clear expectation when it comes to the more sophisticated interpersonal, strategic and political skills that are in fact often required by Facility Managers.

In summary, managing change is an important role of Facility Managers that has been largely ignored or taken for granted to this point. The role of change manager is not easily defined and will vary depending on a number of factors, such as:

- the context of each organisation, especially the level and type of responsibility that is expected from the Facility Manager by the senior management of the organisation, and the level of support in managing change that is provided to Facility Managers
- the nature of the change process, specifically how fundamental and far-reaching the change will be

- individual factors such as the experience and training of the Facility Manager, and what choices they make about how they approach the management of change.

Results from this research have indicated that many Facility Managers have not had adequate preparation or support for the amount and type of change they have been required to manage. While most Facility Managers may be competent in a basic level of change management, many are lacking in the more sophisticated change management skill sets that have been identified in the above literature. For this reason, it is suggested that a greater emphasis be put on these more explicit skills related to the management of change.

Change management competencies of Facility Managers

In an attempt to provide a framework that can be used in the practice setting, I am proposing a set of change management competencies (in the following Table) that are relevant for Facility Managers who are involved in any level of change beyond the implementation of straightforward, uncontested technical change. In putting this forward, I am not suggesting it is the only, or the final, list of competencies. Rather it is a compilation drawn from the literature and the research findings that may provide some practical guidance for the development and support of Facility Managers.

Table 10: Change management competencies for Facility Managers

Analytical
Understands clearly what changes are needed and the nature of these changes.
Understands internal and external factors impacting on the change process.
Establishes goals and objectives to move forward with clarity.
Insightful
Understands how their own views and experience affect their approach to managing change.
Understands how change affects the feelings, views and positions of other people in the organisation.
Establishes what personal and organisational resources are needed to facilitate the change process.
Influential
Communicates their vision effectively to a range of stakeholders.
Stimulates and supports motivation in others.
Promotes a positive approach to change.
Emotional
Has sufficient self-confidence and perseverance to maintain a long-term commitment to the change process.
Has emotional resilience, allowing them to bounce back from difficulties.
Tolerates ambiguity and uncertainty.
Interpersonal
Builds open and trusting relationships with others.
Communicates effectively with a range of different stakeholders.
Political
Understands and works within power relations affecting the change process.
Builds effective coalitions and networks inside and outside the organisation.
Negotiates effectively to get support and resources necessary for the change process.
Confronts and creatively deals with conflict.
Makes tough decisions when necessary and follows through with these.
Technical
Develops and implements comprehensive plans.
Sets up effective communication systems.
Develops and implements policies and procedures that embed changes within the organisation.
Evaluates the impact of change and incorporates the findings from such evaluations.

5.4: An analytical model for the management of change

Introduction

This model is proposed as an alternative to the many prescriptive 'n-step' models of change management that are found in the management literature. This model does not set out a number of steps that managers must follow in managing change. Rather, it makes explicit some of the key decision points during the planning and implementation of the change process. It encourages managers to make conscious choices at these points about their actions and the possible consequences of these actions. The purpose of the model is to bring the management of change from the background into the foreground of management thinking and practice.

It is suggested that managers use the model as a tool to help them navigate their way through the change management journey. It can be used by individual managers or by any groups within an organisation that are concerned with the management of change. Individual managers or groups can use the model as a questionnaire and record their responses to all the questions. It can be used as a template for discussion in a workshop setting. It can also be used as a framework for articulating and evaluating the organisation's approach to managing change.

Analytical model for the management of change

Establishing the reasons for the change

Why this is important

The reasons behind any given change are not always clear. There may be official reasons, as well as other unstated reasons. Managing the process will be difficult if the various stakeholders do not understand why they are being asked to change. The manager may have to clarify the different reasons for him/herself and then decide which reasons they focus on.

Questions to consider

- What are the reasons for the change?
- Who is driving the need or change, for example government, owner, manager, staff, residents?
- Whose interests are being served by the change?
- Are there a combination of reasons, some more public than others?
- Are the changes negotiable or completely given?

Understanding the nature of the change

Why this is important

There is no single best way of managing change and the appropriateness of the approach is affected greatly by the nature of the specific change. Managers need to appreciate the specifics of each situation and be flexible enough to adapt their approach to the needs of each situation.

Questions to consider

- Is it a small-scale, fairly technical change, a more fundamental change in the way the organisation works or somewhere in between?
- If it is a more fundamental change, are you prepared to devote more time and resources in the planning and implementation of the change?
- Is it urgent and for what reason, or can it be dealt with over time?
- Are there external political agendas behind the change that need to be acknowledged?
- Are there internal political agendas either behind the change or that might make implementation difficult?
- Who will the change mainly affect?
- Who will be advantaged and disadvantaged by the change?
- What may be some unintended consequences of the change?
- How much consideration needs to be given to these possible consequences?

Addressing the current reality of the organisation

Why this is important

All change processes occur in a specific organisational context. The circumstances in each organisation play a large role in how the change process unfolds. It is highly unlikely that a change management program can be simply imported and implemented without tailoring it to the context of the organisation.

Questions to consider

- How does the change fit with the underlying purpose and mission of the organisation?
- What are the circumstances in the organisation now that may make implementation more easy or difficult, for example staff turnover, staff morale, sense of constant change, conflict within the organisation?
- Are different parts of the organisation (Board, executive management, line management, non-management staff) in alignment and supportive of each other on this change?
- Is the underlying culture of the organisation receptive to or resistant to change generally?
- Can the change be accommodated within current resources or will it mean having to change the way other parts of the organisation operate?
- How will the answers to the above questions affect the change process and how can they be reflected in the approach to managing change?

Being clear about your basic approach to change

Why this is important

A fundamental problem with many change programs is that managers and other stakeholders are influenced by their underlying assumptions about change without being aware of or acknowledging these. Many actions are taken without a clearly shared rationale and without significant consideration of possible consequences. To overcome this, managers may choose to make their approach more explicit and build a common understanding of this among key stakeholders.

Questions to consider

- Will you adopt a top-down approach to managing this change, a heavily consultative approach or somewhere in between?
- What will be the consequences of this choice?
- Who in the organisation should be involved in planning and implementing the change?
- Have you considered all possible stakeholder groups, for example residents, family, staff, unions, government bodies, industry peaks, community groups
- If you consult with stakeholders, what input will they have to the decision-making process in reality?
- What level of importance do you put on the personal experience of the change process – as opposed to the impersonal 'official account' of the process?
- Are you aware of your own underlying assumptions about change generally and about this change in particular?
- How important is it for the management team to acknowledge their assumptions about this change process and to discuss these as part of the review of the process?

Considering the emotional aspects of change

Why this is important

Many studies on change have identified the emotional impact on organisational members as having an important role in the outcome of the change program. At the same time, the literature also suggests that it is an issue that is ignored in many real organisational change situations. Managers need to consider whether this is something they need to be aware of and focus on in implementing their change process.

Questions to consider

- What may be the emotional impact of the change process on individuals and different groups within the organisation?
- Which of the following options best describes your approach to the emotional impacts of the change process?
    - ♦ It is something that is unfortunate but unlikely to have much of an impact on the process.

- It is something that may have a serious impact on the implementation of change but cannot be avoided.
- It is something that may have a serious impact on the change program and should be explicitly addressed as part of the implementation.

- How will your decision affect your approach to implementing this change?

Considering approaches to implementation

Why this is important

While it is important to emphasise the process of managing change, it is also important to focus on the strategies and structures that will provide the framework for implementing the change program. These will form the basis of a plan that can be followed through, communicated to other stakeholders and monitored and evaluated.

Questions to consider

- How much do you need to convince people about the need for change?
- How much do you need to motivate people to get involved in the change process?
- What structures will you use to implement the change process, for example working groups, normal teams etc
- How will these structures be created?
- What will be the role of any teams or other structures – specifically how much will they actively participate and solve problems, as opposed to simply implementing already-decided strategies?
- What are the timeframes for implementing the change?
- Are there reasons for this timeframe?
- Is the timeframe realistic?
- Has the timeframe been well communicated to everyone?
- How can the change process align with and complement other initiatives in the organisation such as continuous improvement and accreditation programs?
- How can you counterbalance the stress of change by also focusing on other stable and continuing aspects of the organisation?

Considering the role of communication

Why this is important

Communication is seen by most authors on change management as absolutely pivotal to the process. It is necessary to share information, help motivate, encourage involvement, provide feedback and reduce conflict. There are many options available to managers in what sort of communication systems they set up. Managers may choose to rely on standard systems or put more effort into developing an approach to communication that will most effectively support the change management process.

Questions to consider

- How important do you see communication as part of the change process?
- Will you actively make a plan for communication or just let things occur naturally?
- How much will communication be a one-way or a two-way process?
- Will this be clear to everybody or may people have different expectations than management?
- How early in the change process will communication begin?
- Will communication be hierarchical – passed from one level to another to another – or more communal and shared?
- What forms of communication will be used, for example memos, newsletters, individual meetings, group forums?

Considering the role of leadership in the change process

Why this is important

Leadership is seen by many authors as vital for any change program other than small-scale, technical type change. Leadership is particularly important in terms of setting a vision and motivating people to get involved in the change process. Managers may not have leadership qualities naturally. They may choose to ignore this, find ways to develop these qualities or look to other ways to develop leadership within the organisation.

Questions to consider

- How will the role of leadership be incorporated into the change process?

- How will managers demonstrate leadership?
- What may be some consequences of this?
- Will other people in the organisation be expected to provide some form of leadership in the change process?
- If so, how will this be fostered and supported?

Supporting managers in the implementation of the change process

Why this is important

The process of managing organisational change is often taken for granted. It is assumed that managers have the experience and skills to anticipate, plan and manage change. This is often not the case, and it may be worthwhile to check the validity of this assumption.

Questions to consider

- Do the current middle and line managers have the necessary experience, skills and resources to manage the change process effectively and efficiently?
- If this is not the case, what will be done to help individual managers get the required experience, skills and resources?
- What ongoing forms of support will be available to all managers?
- How explicit and accessible are the support systems for managers?
- What resources are realistically needed to support this change process?
- If the resources are not available, how will this be acknowledged and dealt with?

Addressing medium and long-term issues

Why this is important

Change programs typically focus on the immediate and short-term implementation phases, as these allow people to take action and get on with the process. However, this may be counter-productive if longer-term implications are not considered. This is especially the case where a change program has negative long-term consequences that were never anticipated.

Questions to consider

- Is this change something that has longer-term implications?
- If so, how much is being focused on pushing through change in the short-term without considering the longer-term issues?
- What systems and structures will be used to maintain longer-term outcomes?

Evaluating the success of the change

Why this is important

Evaluation of the change program is important as a way of knowing whether the program achieved its goal. It is also important as an aid to know whether adaptations need to be made in the program as it unfolds. The literature suggests that evaluation of change programs can be a complex process and often does not occur.

Questions to consider

- How will you know the change has been a success?
- Who chose these criteria and do they reflect a range of outcomes?
- How easy will it be to know if the criteria have been achieved?
- How often will these criteria be examined?
- Who will be involved in examining them and who will have access to the information?
- What feedback on the evaluation will be given and to whom?
- What actions will be able to be taken based on the evaluation?
- Will these actions include reversing the change if it has been evaluated as unsuccessful?

5.5: Management development practices supporting the management of change

Introduction

This research project has suggested that Facility Managers often do not have adequate preparation and support in the management of change, even though this is a significant part of their role. The preparation and support of managers is typically considered in the context of management development. The following section will introduce the field of management development and explore its relationship to change management. It will then put forward a number of ways that management development practices in residential aged care can better support Facility Managers in their role as managers of change.

Literature on management development

Vloeberghs (1998) suggests that management development can be perceived in different ways – some narrowly and others more broadly. Those that see management development in a narrow way see it only as consisting of training courses provided to managers. Those that have a broader perception include a range of work-based learning activities as well as recruitment, selection, personnel planning and career planning. I am locating this discussion of management development within this latter, broader meaning of the term.

Management development is concerned with promoting three broad goals – an individual's career, organisational succession and organisational performance. Lees (1992) suggests that organisations pursue management development for many different reasons that combine these three goals.

Although the distinctions are sometimes blurred, management development can occur in either a classroom or a workplace setting. Classroom settings include: in-company training courses; external courses; seminars and conferences; and external formal

qualifications such as university or college courses (Thomson et al 1997). Woodhall and Winstanley (1998) list workplace methods advocated for management development as: learning from another person (coaching, mentoring and sponsorship, role modelling); learning from tasks (special projects, job rotation, shadowing, secondment, acting up/delegation); and learning with others (task forces/working parties, action learning, networking).

The regularity and intensity of change that most organisations are subject to highlights the importance of effective management development (Winterton & Winterton 1997; Broussine et al 1998; Breu & Benwell 1999; Doyle 2000). "Perhaps the two greatest challenges facing organisations today are leadership and change: recruiting, retaining and – most importantly – developing managers, and successfully managing organisational change" (Burnes 2003, p.627).

Burnes (2003) suggests that most organisations tend to treat management development and the management of change as separate issues and areas of responsibility within the organisation. This means that many opportunities for individual and organisational improvement are missed. Many change efforts fail because of poor leadership and weak management. At the same time management development programs often fail because the needs of the individual manager are not aligned to the needs of the organisation and because there is too much reliance on classroom learning, as opposed to experiential learning. While accepting that organisational change and management development are not automatically linked in all situations, Burnes argues that organisations should recognise the overlaps that do occur and make every effort to combine the two areas where possible.

Doyle (2000) believes that management development and organisational change are intrinsically linked. He warns that management development will lose its relevance unless it becomes more closely integrated with the dynamics of organisational change. Doyle suggests that often management development is too focused on technical and professional skills within specific job specifications, rather than the more complex context of change – a context that includes the structural, cultural, political, emotional and psychological influences involved in change.

According to Mabey and Thomson (2000), successful outcomes of management development are strongly influenced by the commitment given by the organisation to management development activities, the presence of policy statements, how high a priority is given to management development and the level of responsibility for it that is taken by the organisation. They stress that organisations have the power to improve management development outcomes by how they organise and prioritise their internal processes and systems.

Breu and Benwell (1999) propose a transition model of change that focuses on the stages that individual managers go through during periods of major change and the typical behaviours associated with these stages. The stages are disintegration, euphoria, crisis, development and redefinition. The relevance of their transition model to management development is that different types of development activities are relevant for the different stages that managers may be at. For example, in the disintegration stage, they suggest activities that build a new worldview, including general, unhyped, informative sessions looking ahead to change and change pressures. In the development stage, activities should focus on creating situations where experiential development and reflective practice can be used to build both confidence and performance.

Broussine et al (1998) developed a management development program for an organisation about to undergo significant structural change. They suggest that most approaches to learning about the management of change have been overly analytical and focused on knowledge and techniques to master change. Broussine and his colleagues found it was much more helpful to acknowledge the emotional aspects of change and to provide the time and space for participants to work through their anxieties in the 'here and now' of the program. They felt that if the emotional and political aspects of change were not recognised and worked with, the management development program would be overly-technical, stilted and lead to further cynicism. Participants of management development programs needed "to get among the organisational thorns and briars" of organisational complexity to be effective (Broussine et al 1998, p.66).

Doyle (2000) suggests that while there has been an increase in the quantity of management development, this does not necessarily mean an increase in its quality and

efficacy. Management development activities have been too oriented toward training courses or programs that do not address the full context of organisational change. Doyle proposes a relational perspective of management development, which puts a stronger focus on the holistic and systemic context of the managers' work situation. This includes the structural, cultural, political, emotional and psychological aspects of this situation. Doyle puts forward his relational approach as an alternative to the rational-functional approach, which he sees as the dominant approach in management development thinking and practice.

Critical self-reflection is a crucial part of management development (Hayes, Rose-Quirie & Allison 2000; Rotem et al 1994). This is important so that managers can make sense of their experience, become aware of their underlying assumptions and the theoretical basis of their actions, and be able to incorporate this into their ongoing learning.

Longenecker and Fink (2001) conducted interviews with 50 managers from 10 large organisations to explore which management development practices are most helpful to improving management performance in rapidly changing organisations. They came up with a number of findings from their study:

- In periods of rapid change, management development needs are large.
- Always clarify the managers' role(s) in your changing organisation.
- Managers learn by doing, by being actively involved in new projects, job rotations or task forces.
- Do not under-estimate the importance of ongoing performance measurement and feedback.
- Managers are seeking mentors and career guidance in periods of change.
- Do not develop an over-dependence on seminars and workshops as primary development vehicles.
- Assess the needs of your managers and develop an action plan to meet them when going into periods of large-scale change.
- Create development plans around the needs of individual managers.

Application to the residential aged care sector

Introduction

This section outlines a number of strategies that aged care organisations may pursue to help in the development and support of their managers, particularly with regard to their approach to the management of change. The list of strategies is provided as a broad menu, in the knowledge that they will not be relevant in all situations and that the ease of their application will be greatly affected by the resources available to each aged care organisation. All aged care organisations are encouraged to review the strategies and adopt those they see as relevant and appropriate for their individual circumstances.

Recruitment

Executive management of the organisation needs to initially clarify how they see the management of change as fitting into the role of the Facility Manager. For example, is it something specific they want to build into the job or will they just expect it to be a quality in whoever is recruited? They also need to review the circumstances and needs of the organisation at the time. Is the facility in a stable state with little need for change? Is there a reliable, stable staff? Is there positive staff morale and resident care? Or alternatively, is the facility at some form of crisis or turning point, which will require a Facility Manager with the experience and abilities to deal with this?

If a decision is made that the management of change is something that needs to be specifically included in the recruitment process, then it needs to be clearly incorporated into the job description and advertisements for the position. Specific competencies for managing change, such as those listed earlier in this chapter, can be incorporated in the selection criteria. The interview questions should include questions about the applicants' experiences of, and approaches to, managing change. Questions should draw out specific examples and look for detailed answers rather than general platitudes about change. Reference checks should also specifically include questions that probe the applicants' abilities in this area.

Induction

A common scenario in residential aged care is that newly appointed managers are automatically expected to have all the skills necessary for the position. Rather than assuming this, it will be more effective if the organisation puts some effort into the induction of the new manager. This should include discussion and negotiation about how the management of change will fit into the role of the Facility Manager. The discussion should encourage self-reflection on the part of the manager about their own skill levels, specifically in terms of how these fit with the needs of the organisation.

Once this early discussion and negotiation occurs, the Executive Management and the Facility Manager can develop a collaborative plan about how the Facility Manager can get the optimum support and resources they need to most effectively perform in their new position. This plan should include a clear process of review, rather than it being a one-off intervention.

Performance appraisal and management

Too often performance appraisal does not occur, or is a mandated activity that both parties approach on a fairly superficial level. It will be more useful if the Facility Manager can have a thorough appraisal with a senior manager. This should refer back to the initial plans made at induction or to more recent appraisal sessions. Discussions should include specific questions and examples about the management of change.

Performance appraisal and management needs to go beyond a formal checklist approach to uncover the real issues that the Facility Manager is faced with. This research project has highlighted that the 'official account' of change programs that managers and others often give is typically quite different from how individual people are actually experiencing the change program. It is important that managers are encouraged to reflect on their experience and are provided a safe and confidential space where they can express this. This is a situation that requires high levels of trust and openness within the organisation. While recognising that such trust and openness do not exist in all organisations, they should be encouraged as much as possible. As at the induction, any

plans made at the performance appraisal should include a clear process of review and follow-up.

Coaching and mentoring

The terms role modelling, coaching and mentoring are often used interchangeably and there can be overlap in the meanings of these terms. Many of the Facility Managers said they had learned a lot from mentors they had worked with. These people were more likely role models – more senior staff that the new manager learned from by observing and following their example. Coaches will normally work with a person to help them acquire specific skills. Mentors are more concerned with longer-term professional and career development.

As part of the induction and performance appraisal processes, the executive management should negotiate with the Facility Manager about the form and level of support that is appropriate for him/her. Hopefully the organisation will include some good role models that the new manager can observe and learn from. The manager may be assigned, or may approach, one or more individual senior staff to take on a coaching role to assist them in specific aspects of their job. The organisation may also have a mentoring system where a senior manager works with a newer manager in a longer-term supportive relationship. Alternatively, a Facility Manager may seek a mentoring relationship with a person outside his or her own organisation.

Peer support

This study found that learning from peers is a major source of learning for Facility Managers. This can occur from peers within or outside the organisation. It can also occur as an informal process or as part of a structured network. Managers in large organisations often have the benefit of peers within that organisation that are easily accessible. This is not the case with smaller organisations, where Facility Managers need to get peer support from outside their organisation. Executive Managers should be aware of the needs and resources available to their Facility Managers in terms of peer support. They should work out with the Facility Managers how they can best get the peer support they need and help to facilitate this happening.

Promoting semi-structured learning in the workplace

One of the key findings of this research project has been that managers primarily learn by experience on the job. However, this form of learning is quite ad hoc and very dependent on the level of commitment to learning found in each organisation. Indications from this study were that many aged care homes did not provide opportunities for their managers to reflect on and learn from their day to day experience.

There are a number of strategies that organisations can use to better capture the benefits of learning on the job. These include an active approach to strategies already mentioned such as coaching, mentoring, performance management and peer support meetings. Other strategies include continuous improvement project teams or action learning sets and regular debriefing sessions during times of significant change. These strategies can be built into the learning and development or education framework of the organisation.

Providing structured learning programs for managers

While structured learning programs can vary greatly in format and length, they are all based around a set program. The examples found in this study included two organisations that put their managers through a Certificate in Frontline Management and one that had an outside consultant come into the organisation and work with all the managers for a full day once a month.

Structured programs work well if they are closely linked to real challenges in the work setting. This can be achieved by the use of action learning methods in the programs. It also helps if the programs have some form of accreditation or provide a bridge into further studies. There are an increasing number of opportunities for aged care organisations to participate in these kind of programs as several universities in Australia have developed partnership arrangements with large aged care providers or with industry peak bodies to conduct management development programs.

Membership in outside networks

Many Facility Managers get their primary support from being part of networks outside their own organisation. Such networks might include local Directors of Nursing meetings, professional associations, industry groups, policy development groups or special interest groups. Participation in these groups allows the manager to get up-to-date information about the sector and exchange ideas and views with people in a position similar to them. Many of these networks also provide a forum where participants can debrief in a supportive and confidential environment.

While there are obvious benefits from participation in such networks, smaller facilities in particular may find it difficult to release staff, and having the manager away for any time may put extra stress on other staff. While it is not always straightforward how much a manager should be involved in such groups, Executive Managers should discuss the possibility and do whatever they can to facilitate the Facility Manager being able to participate as negotiated with them.

Succession planning

The training and support of Facility Managers should not be restricted only to people currently holding that position. Other staff should be supported to develop their change management competencies as part of the leadership development program of the organisation. Examples of how this can occur include job rotation, short-term project leadership and involvement in strategic planning and decision-making processes.

Industry-based practices to support the management of change

It is a strong feature of the sector that there are many small organisations providing residential aged care. Most of these do not have the financial or human resources to develop and conduct many of the strategies suggested above. Industry peak bodies, professional organisations and educational providers have an important role to play in setting up management development programs that smaller aged care organisations can participate in. These might include structured management development courses, mentoring networks, educational resources on change management and peer support

networks. Government bodies involved in regulating the aged care sector also have a responsibility to be mindful of the timing of their change initiatives so that facilities do not have too many changes at once. They also need to appreciate the various impacts of the change programs and whether facilities need extra resources in some form or other to implement these programs.

Chapter 6: Conclusions

Key findings and conclusions

There is a strong perception within the residential aged care sector that the management of change is an important part of the Facility Manager's role. However, there is not a widespread and clear understanding of how the management of change actually fits within the Facility Manager's role.

While the management of change is seen as important, detailed analysis and discussion of it remains in the background of management thinking and practice in the sector. The management of change is an integral component of the Facility Manager's role that has been largely ignored or taken for granted. This situation can be rectified if consideration and discussion of the management of change is brought more into the foreground of management thinking and practice.

While managing change cannot be neatly separated from other aspects of being a manager, it is inappropriate to assume that all managers will be competent in the management of change simply because they are managers. A number of change management competencies are proposed as being appropriate expectations of Facility Managers who are involved in any level of change beyond the implementation of straightforward, uncontested technical change.

There is considerable variation among Facility Managers in their ability to manage change. This is affected by their own personal qualities such as education, attitudes to change and experience. It is also affected by organisational factors such as the level of responsibility given to and expected of Facility Managers, and how much support is provided to help them achieve this.

The fact that the management of change has not been openly addressed and supported as part of the Facility Manager's role has led to considerable levels of stress for many Facility Managers. This has had repercussions at individual, organisational and sector

levels. The individual impacts have included physical and emotional ill health, and stress on family and social relations.

The organisational impact is that change programs often founder, do not reach their full potential or have a range of unintended negative consequences. The effect on the sector is that many experienced staff have stepped down as managers or left the sector. This is compounded by the finding that many junior staff are reluctant to work towards achieving a management position.

An important finding from the literature, that was echoed in the accounts of research participants, is that most explanations of change management take a rational, linear approach that ignores the 'lived experience' of managers and other stakeholders. As long as people rely on the formal account of what is happening – as opposed to what is really happening to key stakeholders – there will be confusion, frustration and lack of completion of the change process.

Becoming clear about the principles underlying one's approach to managing change is a key step toward successfully managing change. It promotes reflection and self-awareness, provides an outline for action, a consistency and coherence in approach and a framework for communicating one's approach to other stakeholders. A set of principles is proposed in this thesis and the reader is invited to consider these and put forward a version that reflects their own views.

A key challenge in the management of change is to become aware of the theoretical rationale for, and the implications of, one's decisions and actions. An analytical model has been proposed to counter the many prescriptive models in the change management literature. The aims of this analytical model are to make key decision points in the change management process explicit, and to encourage managers to make conscious choices at these points about their actions and the possible consequences of these actions.

The main way that Facility Managers learn to be managers is through on-the-job experience. Looked at across the sector, this form of learning is ad hoc, unsystematic

and very dependent on the level of commitment to management development provided by each organisation. The sector needs to build on its rich history of experiential learning by providing systems that can provide more structure and accountability to the learning process. Such systems include mentoring, job rotation, project work, debriefing and structured management development programs.

Organisations can also help bring the management of change more into the foreground of management thought and practice by explicitly including it in recruitment, induction, performance appraisal and management, facilitation of peer support, succession planning and through encouraging participation in outside professional networks.

The industry peak bodies, professional associations and universities have an important role in providing management development opportunities for smaller and stand-alone aged care homes that do not have enough internal infrastructure to conduct their own management development programs.

Implications for further research

As was made clear in Chapter 1, there has been no systematic research on the role of Facility Managers within this sector. A useful starting point for further research would be quantitative surveys that provide a comprehensive picture of this group, including qualifications, experience, their pathway into management and what forms of ongoing training and development they receive. The issue of recruitment and retention is an ongoing and pressing problem within this sector, so it would be useful to conduct research on change management as well as the broader role and function of Facility Managers in terms of factors that support recruitment and retention.

One line of future research would be to further develop the models that have been proposed in Chapter 5. More research needs to be done on developing, teaching and assessing competencies in change management. It would also be helpful to develop illustrative case studies on facilities using the analytical model for the management of change.

In terms of extending the findings from this study, it would be very useful to conduct research on the processes that can strengthen learning from experience such as mentoring and team-based project work. Efforts should also be put into doing thorough evaluations of any new management development programs that are set up in the sector.

As a contribution to the more general literature on change, it would be useful to conduct research within the sector that focused on long-term evaluation of change initiatives, especially ones that included the perspectives of multiple stakeholders rather than just representing the managerial position. Taking an emergent approach would allow the research to document the complex, multi-layered and evolving nature of change within the sector.

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Appendices

Appendix 1a: Interview schedule for Facility Managers

Explain the nature and scope of the interview: about the management of change in residential aged care – explain information sheet. Obtain written consent from interviewee and agreement for sessions to be audiotaped. Interviewee to keep one consent form and me to retain one copy.

I want to start by asking some preliminary questions about your facility and your self:
Facility
Number of beds / How old is the facility / Is it stand-alone or part of a network
Type of residents eg high /low care, specific populations eg. dementia, NESB
Is it over 80% HY; Over 80% LOW or have LOW CARE between 20-80%
Who owns the facility – private / church charitable community / government
Yourself:
Your position / How long in that position / How long in aged care
What qualifications do you have / further studies undertaken

Explain the basic background to the project:
Over the past 5-6 years there has been significant and ongoing change within the residential aged care sector. Some of the factors contributing to this have been: Legislative and regulatory changes eg RCS, accreditation and building certification / Changes in the workforce eg. staff turnover and staff shortages / Commercial changes / Shifts in models of care

After explaining this overall context of the project ie. intense ongoing change:

<u>How do you see your role in terms of managing this constant state of change?</u>
Prompts Do you see the "management of change" as a significant part of your job?
Do you think of yourself as a "change manager"?
How important do you think the management of change is as an overall issue within the sector?

<u>How would you explain your approach to managing change?</u>
Prompts Do you follow any particular model or theory of change management?
Can you explain your approach to managing change in your own terms?

<u>Can you describe a specific situation where you have been involved in managing change?</u>
Prompts Can you explain each step or phase in the process?
Can you explain why you chose to act the way you did along the way?

What would you consider to be the 4-5 most important principles in successfully managing change?

How have you learned to manage change?
Prompts study, mentor, mistakes?
Have you done any formal study in management?

What aspects of your organisation have both helped and hindered you in your efforts to manage change?

How would you describe your approach to both planned change of a specific issue as compared to managing a constant state of change on a day to day basis?

How confident do you feel about your abilities to manage change?

How well do you think that change is managed across the sector as a whole?

Do you think change management is a discrete role for managers at your level along the lines of clinical expert, financial management, personnel management and other widely accepted roles or is it just part of being a good manager?

Do you think people in your position in this sector need to be supported in their efforts to manage change? If so, how should that support be provided and by whom?
Prompts on the job/off the job; industry based; training; mentoring; structural reform

Do you think the amount of change that people in your position have had to manage has taken a personal toll on people?

Where do you think the sector will be in 5 years time?

Where will you be in 5 years time?

Do you have anything else to say that might help shed light on the issue of change management within the sector?

I will conclude by:

- Asking if they have a copy of their job description or any similar document related to their position or similar position
- Explaining that I will send a transcript of the interview for them to edit and/or add to if they wish – Check if they want that and where to send it - email or post
- Giving them the opportunity to meet again if they want to explore these issues further
- Asking if they are happy for me to communicate further with them by telephone or email if I want to explore the issues further
- Acknowledging that interviews may sometimes bring up ideas or feelings that are a problem – please contact me if there any unresolved issues – give my card

Appendix 1b: Interview schedule for Industry Stakeholders

Explain the nature and scope of the interview: about the management of change in residential aged care – explain information sheet. Obtain written consent from interviewee and agreement for sessions to be audiotaped. Interviewee to keep one consent form and me to retain one copy.

I want to start by asking some preliminary questions about your role within the sector and yourself:

Your role
Organisation you work for / what you do / the relationship of your role to management of change within the sector

Yourself
Your position / How long in that position / How long in aged care
What qualifications do you have / further studies undertaken

Explain the basic background to the project:
Over the past 5-6 years there has been significant and ongoing change within the residential aged care sector. Some of the factors contributing to this have been: Legislative and regulatory changes eg RCS, accreditation and building certification / Changes in the workforce eg. staff turnover and staff shortages / Commercial changes / Shifts in models of care

After explaining this overall context of the project ie. intense ongoing change:
How important a role is the management of change within the overall job of managers?

Prompts Do you see the "management of change" as a significant part of the job of FM?
Do you think of FMs as "change managers"?
How important do you think the management of change is as an overall issue within the sector?

What do they think are common approaches to managing change?

Prompts Do people follow any particular model or theory of change management?
Can you explain the range of approaches to managing change in your own terms?

What do you see as the 4-5 most important principles that Facility Managers could use to successfully manage change?

How do managers in the sector typically learn to manage change?

Prompts study, mentor, mistakes??
How many people do formal study in management? How important is it to do this?

What aspects of organisations both help and hinder managers to manage change?

How does the management of planned change compare with management of a constant sense of change?

How well do you think that change is managed across the sector as a whole?

Do you think change management is a discrete role for managers along the lines of clinical expert, financial management, personnel management and other widely accepted roles or is it just part of being a good manager?

Do you think managers need to be supported more in their efforts to manage change? If so, how and by whom?

Prompts on the job/off the job; industry based; training; mentoring; structural reform

Do you think the amount of change that managers have had to manage has taken a personal toll on people?

Where do you think the sector will be in 5 years time?

Where will you be in 5 years time?

Do you have anything else to say that might help shed light on the issue of change management within the sector?

I will conclude by:

- Explaining that I will send a transcript of the interview for them to edit and/or add to if they wish – Check if they want that and where to send it - email or post
- Giving them the opportunity to meet again if they want to explore these issues further
- Asking if they are happy for me to communicate further with them by telephone or email if I want to explore the issues further
- Acknowledging that interviews may sometimes bring up ideas or feelings that are a problem – please contact me if there any unresolved issues – give my card

Appendix 2: Criteria for successful interviewing

As developed by Chris Shanley to guide the planning and conducting of research interviews

BEFORE INTERVIEWS

Develops an interview outline, with questions that address the primary research question(s)

In contacting potential interviewees, explains the project clearly and establishes the legitimacy and importance of the project

Explains clearly to potential interviewees what involvement will entail e.g. how long interviews will be, number of interviews, confidentiality, use of audiotapes.

Sends by fax or email any background information that the potential interviewee may request

Makes and confirms arrangements for interviews based on convenience to the potential interviewee

Ensures all audiotaping equipment is in full working order.

START OF INTERVIEW

Establishes initial rapport by being punctual, relaxed, courteous and by explaining the project and allowing adequate time for questions and clarifications.

Explains the nature and scope of the interview so that interviewee feels confident they can proceed openly rather than the interview being based on a narrow, fixed agenda.

Obtains written consent from interviewee and agreement for sessions to be audiotaped.

Asks factual and easy to answer questions initially to provide an opportunity for both interviewer and interviewee to relax into the situation.

DURING THE INTERVIEW

Demonstrates active listening by asking further questions, of a more in-depth nature, based on the interviewee's comments – as opposed to shifting the line of questioning prematurely to a range of preset questions.

Demonstrates active listening non-verbally by maintaining eye contact, providing nods and short verbal responses and focusing on the interaction rather than being "absent" and preoccupied.

Avoids questions or comments that are leading the interviewee to respond in a way that conforms to the ideas of the interviewer.

Asks questions that are understandable to, and answerable by, the interviewee.

Clarifies or restates questions that the interviewee is having difficulty answering.

Asks questions that will help answer the primary research question(s).

Demonstrates a non-judgmental approach by not commenting on or evaluating the interviewee's responses.

Allows plenty of time to answer (including times of silence) rather than moving the discussion on prematurely.

Asks questions in a reasonable sequence and flow.

ENDING THE INTERVIEW

Indicates to the interviewee that the end of the interview is approaching, rather than ending the session abruptly.

Allows time and comfort for the interviewee to provide any final and closing comments.

Gives clear indication of what will happen next e.g. transcript to be sent for checking and adding any new information.

Asks if it is OK to contact again for elaboration or follow-up of issues.

Acknowledges that sometimes these types of interviews raise issues that they may continue to think about or be troubled over. Asked to contact interviewer if there are any outstanding issues. Contact details given to interviewee.

Appendix 3: Information sheet for participants

P O Box 123
Broadway NSW 2007
Australia

Tel. +61 2 9514 2000
Fax +61 2 9514 1551

University of Technology, Sydney

Navigating the change process: the experiences of, and ways forward for, senior clinical executives in residential aged care

Information Sheet for Participants

The project
This research project is being undertaken by Mr Chris Shanley as a thesis for a Doctor of Education degree at the University of Technology, Sydney. The research is being supported in part by Mr Shanley's workplace – the Centre for Education and Research on Ageing (CERA). The research has been approved by the ethics committees of the University of Technology, Sydney and Concord Hospital – where CERA is based.

Purpose of study
To develop ways to support senior clinical executives in residential aged care to most effectively manage change in the workplace. The study will achieve this purpose by gaining an understanding of the current practice of change management followed by this group, and by exploring the relevance and applicability of change management theory and practice to the residential aged care sector.

The study will involve interviews with three groups of people: senior clinical executives (eg. DONs and Hostel Managers) in a number of facilities; a range of stakeholders involved in workforce development in the sector; and researchers and teachers involved in change management.

Confidentiality undertaking
All interviews will be treated with complete confidentiality. This project is not being funded by any external source so there will be no reporting to any third party. Interviews will be audiotaped wherever practical and with permission of interviewees. This is done to ensure the researcher gets an accurate record of the interview.

Participants have freedom of choice through all stages of the project: they may chose not to be interviewed in the first place; they may chose to terminate the interview at any time; they may chose not to have their interview audiotaped; they may chose not to answer certain questions; and they may chose to have their completed interview removed from the data pool at any time after the interview.

All tapes and transcripts from interviews will only be accessed by Mr Shanley in preparation of his thesis. According to standard guidelines, all data will be securely stored after completion of the thesis and destroyed after seven years. During this time, only Mr Shanley will have access to the data.

No persons will be identified in any published work arising from this research unless written approval is obtained for this.

Please see attached consent form for further information about the project – including several contact points.

CHRIS SHANLEY TEL: [redacted]

Office City campus, No 1 Broadway, Sydney NSW
Campuses City, Kuring-gai, St Leonards

Appendix 4a: Letter of industry support from ACS

Aged & Community Services
Association of NSW & ACT
Incorporated

Level 1, 391 Liverpool Road
Ashfield NSW 2131
(access via Beatrice Street)
TEL 02 **9799 0900** • 1800 424 770
FAX 02 9799 0800
EMAIL mail@agedservices.asn.au
WEB www.agedservices.asn.au
ABN 13 737 853 254

20th February 2003

TO WHOM IT MAY CONCERN

The Centre for Education and Research on Ageing (CERA) at Concord Hospital, has been involved in supporting residential aged care for a number of years, particularly with the development of practice guidelines and training packages.

Most of the work focusing on residential care has been done by Chris Shanley who is now undertaking a significant research project within the sector as part of his role at CERA. The project will examine the management of change within the residential aged care sector and has the potential to help many facilities and managers within the sector.

The Aged & Community Services Association of NSW & ACT (ACS) has confidence in the work of CERA and I encourage staff to participate in this research project if at all possible.

Yours sincerely

Production Note:
Signature removed prior to publication.

Paul Sadler
Chief Executive Officer

Appendix 4b: Letter of industry support from ANHECA

AUSTRALIAN NURSING HOMES
AND EXTENDED CARE ASSOCIATION (NEW SOUTH WALES)

Representing private enterprise, church, charity and community operators of quality residential care facilities
ABN 41 823 346 287

Level 8
418A Elizabeth Street
Surry Hills NSW 2010

To whom it may concern

Chris Shanley, Assistant Director, Centre for Education and Research on Ageing (CERA), has long been associated with ANHECA (NSW) on many projects which enhance aged care services for both residents and staff.

Research in aged care is vital if we are to move forward and meet the challenges of tomorrow. Chris's research topic will ultimately benefit the management of aged care services and I encourage management and senior staff to participate in this research project.

Yours sincerely

Production Note:
Signature removed prior to publication.

Sue Macri
Executive Director
ANEHCA (NSW)

17/2/03.

Appendix 5: Consent form

P O Box 123
Broadway NSW 2007
Australia

Tel. +61 2 9514 2000
Fax +61 2 9514 1551

University of Technology, Sydney

CHANGE MANAGEMENT IN RESDENTIAL CARE: CONSENT FORM

I _____ agree to participate in the research project "Navigating the change process: the experiences of, and ways forward for, senior clinical executives in residential aged care" being conducted by Chris Shanley, a student of the Faculty of Education, University of Technology, Sydney, telephone (02) [redacted] for the purpose of his Doctor of Education degree.

I understand that the purpose of this study is to develop ways to support senior clinical executives in residential aged care to most effectively manage change in the workplace. The study will achieve this purpose by gaining an understanding of the current practice of change management followed by this group and by exploring the relevance and applicability of change management theory and practice to the residential aged care sector.

I understand that my participation in this research will involve a face-to face interview of between 60-90 minutes with the researcher about practice change, a request to obtain copies of organisational documents such as policies, procedures and planning documents relevant to the interview content and possibly short follow up interviews by telephone or email.

I am aware that I can contact Chris Shanley [redacted] or his supervisor Professor Paul Hager (02 9514 3826) if I have any concerns about the research. I also understand that I am free to withdraw my participation from this research project at any time I wish and without giving a reason.

I agree that Chris Shanley has answered all my questions fully and clearly. I agree that Mr Shanley has given me an Information Sheet about the project. I agree that the research data gathered from this project may be published in a form that does not identify me in any way.

_____ ___/___/___
Signed by

Interviewee's copy

_____ ___/___/___
Witnessed by

NOTE:
This study has been approved by the University of Technology, Sydney Human Research Ethics Committee. If you have any complaints or reservations about any aspect of your participation in this research which you cannot resolve with the researcher, you may contact the Ethics Committee through the Research Ethics Officer, Ms Susanna Davis (ph: 02 - 9514 1279, Susanna.Davis@uts.edu.au). Any complaint you make will be treated in confidence and investigated fully and you will be informed of the outcome.

Page 1 of 1

Office City campus, No 1 Broadway, Sydney NSW
Campuses City, Kuring-gai, St Leonards

Appendix 6: Full set of codes used in process of analysis

Number of Nodes: 108

1 Aspects helped
2 Aspects hindered
3 Closing comments
4 Constant change
5 DUMP NODE
6 Empowerment
7 General social change
8 Handbook
9 How to support
10 leadership
11 Learned to manage
12 management qualifications
13 MENTORING
14 NEED FOR SUPPORT
15 Principles in CM
16 Qualities of a change manager
17 Reflection on practice
18 Research
19 Rhetoric or reality
20 Role elaborated
21 Role of government
22 Rural issues
23 Sector in 5 years
24 Specific situaton
25 Specific to industry
26 Summary of Principles of CM
27 Support - Other ways
28 Support Effectiveness
29 Support Self
30 Toll - how
31 You in 5 years
32 Your approach
33 Your role
34 (1) /Role perception
35 (1 1) /Role perception/Description of role
36 (1 2) /Role perception/Why its important
37 (1 3) /Role perception/Change nature of role
38 (1 4) /Role perception/Degree of importance
39 (2) /Role understood
40 (2 1) /Role understood/Overtness~Acknowledgment of role
41 (2 2) /Role understood/Alternative terminology
42 (2 3) /Role understood/How role operationaalizes
43 (3) /Role approached

44 (4) /Support inside
45 (4 1) /Support inside/organisational practices
46 (4 2) /Support inside/Boards
47 (4 3) /Support inside/Peers
48 (4 4) /Support inside/Resources
49 (4 5) /Support inside/Staff under
50 (4 6) /Support inside/Managers
51 (4 7) /Support inside/Corporate support~networks
52 (5) /Support outside
53 (5 1) /Support outside/Universities
54 (5 2) /Support outside/formal networks
55 (5 3) /Support outside/Informal networks
56 (5 4) /Support outside/Professiional groups
57 (5 5) /Support outside/Ahs
58 (5 6) /Support outside/Peaks
59 (5 7) /Support outside/consultants
60 (6) /Learned to manage
61 (6 1) /Learned to manage/Role of study
62 (6 2) /Learned to manage/Type of study
63 (6 3) /Learned to manage/Support from organisation
64 (6 4) /Learned to manage/Learned from experience
65 (6 5) /Learned to manage/Personal qualities
66 (6 6) /Learned to manage/Sources of support
67 (6 6 1) /Learned to manage/Sources of support/Peers
68 (6 6 2) /Learned to manage/Sources of support/Industry
69 (6 6 3) /Learned to manage/Sources of support/Senior worker
70 (6 6 4) /Learned to manage/Sources of support/DONS meetings
71 (6 6 5) /Learned to manage/Sources of support/Professional orgs
72 (6 6 6) /Learned to manage/Sources of support/Other sources of learning
73 (6 8) /Learned to manage/Role of previous jobs
74 (6 9) /Learned to manage/Role of life experience
75 (7) /Support
76 (7 1) /Support/Positive
77 (7 2) /Support/Negative
78 (7 3) /Support/Absent
79 (8) /Facilities
80 (8 1) /Facilities/Size
81 (8 2) /Facilities/Structure
82 (8 3) /Facilities/Life Cycle
83 (8 4) /Facilities/Stand-alone or Network
84 (8 5) /Facilities/Other
85 (9) /Types of change
86 (9 1) /Types of change/Forced or chosen
87 (9 2) /Types of change/Big or small
88 (9 3) /Types of change/Fast or slow
89 (10) /TOLL
90 (10 1) /TOLL/Toll - Scope
91 (10 2) /TOLL/Toll - Reasons for
92 (10 3) /TOLL/Toll - consequences

93 (10 3 1) /TOLL/Toll - consequences/Leaving industry
94 (10 3 2) /TOLL/Toll - consequences/Sick - Stressed
95 (10 3 3) /TOLL/Toll - consequences/Other
96 (10 4) /TOLL/Toll - different to other sectors
97 (10 5) /TOLL/Toll - Current picture
98 (10 6) /TOLL/Toll - Positive responses
99 (10 7) /TOLL/Toll - will they take your job
100 (11) /Search Results
101 (11 1) /Search Results/Single Text Lookup
102 (11 2) /Search Results/Single Text Lookup 2
103 (11 3) /Search Results/Single Text Lookup 3
104 (11 4) /Search Results/Single Text Lookup 4
105 .Role understood
106 .Role understood.Alternative terminology
107 .Role understood.How role operationalizes
108 .Role understood.Overtness – Acknowledgement of role

Appendix 7: Facility Managers' summarised responses to the question "What would you consider the 4-5 most important principles in successfully managing change?"

FM 1

- communication
- feedback
- giving over control - delegation
- keeping up with industry - networking and external memberships

FM 4

- involving and consulting staff
- really listening to people
- expect that it's not always going to work smoothly
- education

FM 5

- lead by example
- support of staff by all stakeholders e.g. owners
- allocating money to support changes
- good environment

FM 6

- communication
- consultation
- give feedback
- review the process

FM 7

- communication
- education
- understanding the change - why it's happening and the need for it
- consultation with those affected
- review the change to see if it's effective
- accept responsibility for making decisions
- never dismiss ideas from staff
- really listen to staff
- accept that change is always going to happen

FM 8

- be a role model

- take things gradually
- be positive
- recognise things will continue to change
- consult - but stand your ground
- be prepared to review the change and accept if it did not do well

FM 9

- understand your staff
- anticipate how change will affect staff
- consult staff
- you need a good board of directors
- good staff
- patience
- supportive residents and families

FM 10

- accept that particular change is appropriate and necessary
- decide on a system for disseminating that information
- disseminate that information
- ensure that it gets through to everyone that needs to be aware of the change
- evaluate the changes that have happened
- evaluate what sort of repercussions that change might have had

FM 11

- consultation
- education
- evaluation
- follow-up
- re-evaluation

FM 12

- do thorough research and think of all implications
- consult staff
- education
- be enthusiastic - believe in the changes
- help staff see the need for change
- put in a process
- be open to feedback on how it's affecting staff
- promote ownership of the change by staff
- let staff have a lot of say

FM 13

- positive attitude
- good sense of humour
- willingness to provide support

- education of staff
- recognise what staff perceive as their needs
- provide resources
- systems of work that are manageable
- staff to have ownership

FM 15

- communication between all parties
- study and understand the change
- look at funding to see what resources are available

FM 16

- communication
- teamwork
- accurate information
- being flexible and adaptable

FM 17

- know your regulations and documentation very well
- never get behind in your work
- don't miss opportunities
- be very clear about financials and budgets
- know your residents really well
- have good clinical skills
- really understand all facets of the workings of the facility e.g. kitchen etc.
- show interest in the work of all staff
- develop a good relation with relatives
- staff development

FM 18

- have open door
- be firm but fair
- education and training

FM 19

- consultation
- communication
- knowledge of the changes
- training

FM 20

- safety of residents
- staff must accept changes
- training of staff