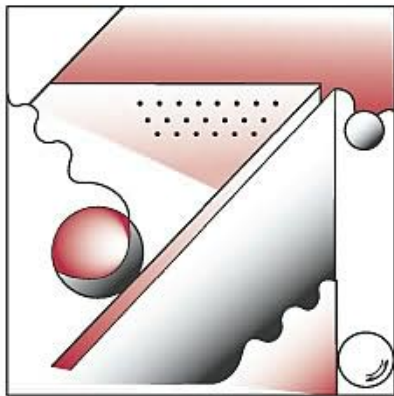


Second Edition

Nursing Theories

CONCEPTUAL & PHILOSOPHICAL
FOUNDATIONS



Hesook Suzie Kim ■ Ingrid Kollak
Editors

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Springer Publishing Company



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Nursing Theories

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To Our Students

Contents

<i>Contributors</i>	<i>ix</i>
<i>Preface</i>	<i>xiii</i>
1 Introduction	1
<i>Hesook Suzie Kim</i>	
2 Human Needs and Nursing Theory	10
<i>Jacqueline Fortin</i>	
3 Adaptation As a Basic Conceptual Focus in Nursing Theories	27
<i>Donna Schwartz-Barcott</i>	
4 The Concept of Self-Care	42
<i>Ingrid Kollak</i>	
5 The Concept of Interaction in Theory and Practice	54
<i>Susanne Wied</i>	
6 The Concept of Need in Nursing Theory	71
<i>Penny Powers</i>	
7 The Concept of Holism	89
<i>Hesook Suzie Kim</i>	
8 Systems Theory and Nursing Theories	109
<i>Heiko Kleve</i>	

9	Existentialism and Phenomenology in Nursing Theories <i>Hesook Suzie Kim</i>	141
10	Humanism in Nursing Theory: A Focus on Caring <i>May Solveig Fagermoen</i>	157
11	Pragmatism, Nursing, and Nursing Knowledge Development <i>Hesook Suzie Kim and Björn Sjöström</i>	184
12	Biography and Biographical Work: An Approach for Nursing <i>Barbara Schulte-Steinicke</i>	202
13	Evidence-Based Nursing for Practice and Science <i>Martina Hasseler</i>	215
14	Transculturality and Nursing <i>Birgit Rommelspacher</i>	236
15	Illness As Risk: On the Genesis and Functioning of Therapeutic Deinstitutionalization <i>Friedrich Balke</i>	259
16	Postscript <i>Ingrid Kollak and Susanne Wied</i>	288
	Appendix A: Synopsis of Selected Nursing Theories and Conceptual Models <i>Hesook Suzie Kim</i>	294
	Appendix B: Selected Middle-Range Theories in Nursing <i>Hesook Suzie Kim</i>	302
	<i>Index</i>	305

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Several chapters in this book were originally written in German and were translated into English by the following individuals:

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Preface

The second edition of this book, like the first, provides a systematic, analytical treatise of nursing's major theoretical work through in-depth analyses of conceptual and philosophical ideas that underpin nursing theories and theoretical frameworks. It is written for advanced nursing students and others who need to understand these ideas and their relationship to theory development and to nursing practice. It is not a survey of nursing theories or an evaluation of nursing theories in terms of their theoretical structures and contents. Instead, readers will gain a deeper understanding of nursing theories through examining them in their conceptual and philosophical contexts. No nursing theory has been developed in a vacuum—each has rich and varied roots in Western philosophical traditions, and this book allows readers to step back and view this larger picture. The themes we have selected for inclusion are all familiar to students of nursing and may evoke different conceptual pictures for them. We believe this conceptual approach makes the book especially rich and interesting as well as challenging.

We hope that this book will be used as a companion to the original theoretical works for better understanding of not only the theories themselves but also of the essential questions about nursing theory development, such as how different conceptual and philosophical perspectives influence theoretical approaches to study key phenomena in nursing. We think this book initiates the third tier in the exposition of theoretical nursing: the first being the original theories proposed and advanced by various authors, and the second tier focusing on analysis and evaluation of nursing's conceptual frameworks and theories. This third tier focuses on the analysis of concepts and issues that form the foundation of the orientations and perspectives of nursing theories. This will, we hope, add to a comprehensive study of nursing's theoretical works.

Building on the foundation of the essays from the first edition, this edition contains several essays warranted by recent developments in the science and research of nursing. These chapters (11, 12, and 13) address the topics of pragmatism, biography, and evidence-based nursing. We believe the currency and relevance of ongoing debates about these topics in both the nursing scene and the broader epistemological and health care world make the presentations timely and critical in providing the bases for responsible discussions and development.

The chapters on systems (chapter 8) and transculturality (chapter 14) were written by new authors and address current thinking and innovative directions, and the chapters on interaction (chapter 5) and self-care (chapter 4) have been completely rewritten to incorporate current debates. The authors of the remaining chapters have edited their original work in order to assure the currency of the material. It has been rewarding to us as editors to revisit the work and help fine-tune it here and there.

Our first edition, with contributions by scholars from Germany, Norway, and the United States, has been well received since its publication. We have been told by many readers, especially colleagues in the U.S., that it had broadened their perspectives and exposed them to innovative thinking. We are delighted that our publisher presented us with the opportunity to elaborate on that work. We hope it will meet with approval similar to the earlier version and that it will kindle interests and point the reader toward new directions.

BACKGROUND TO THE FIRST EDITION

The idea for this book came about when Ingrid and I were together in Berlin in the summer of 1996. She had been talking with a German publisher who was interested in publishing a book in nursing theories. This led to our discussing the current situation in the discipline of nursing both in the U.S. and in Europe regarding theory development and theoretical discourse. We both felt there was a great need for a theory book that did not just elaborate on the contents of nursing theories, but that examined the conceptual and philosophical ideas behind nursing theories. Such a book, we thought, could assist advanced students in nursing to comprehend nursing's major theoretical ideas from foundational issues pertaining to theory development and relationship to nursing practice.

The idea in the beginning was to work on such a book to be published in German, with contributions by both American and German-speaking scholars in nursing. But as we got into the actual development of the outline and preparation of the manuscript, it became apparent that there would be great merit and excitement in publishing the book in German and English concurrently. Although it is quite true that European nurses and nursing scholars are exposed widely to theoretical work published in English, American readers have not had many opportunities to read analytical work regarding nursing theory written by German-speaking scholars, except for a limited number of journal articles published in English. In this age of globalism and multiculturalism, we find it exciting to present views and studies of nursing's theoretical issues by scholars not only with different philosophical orientations but also with different linguistic, cultural, and academic backgrounds. Thus we have contributions by four American authors, one Norwegian scholar whose advanced education is from the United States, and five German authors. The contributors have performed remarkable feats of pulling together sources of information and knowledge that undergird each theme, and at the same time remaining utterly critical and analytical in their expositions. We are sure all contributors would agree with us that the intent of the book is to raise critical questions fundamental to advancing nursing's theoretical work rather than to provide definitive answers about what is good or bad about nursing theories.

As with any edited book, it is quite amazing how one can achieve diversity in characteristics as we find in the chapters included in this book. Without the contributors' insights and knowledge, their diligence and perseverance, this book would not have materialized. We acknowledge the important contribution made by the translators who translated German manuscripts into English for the American publication, and those who translated English manuscripts into German for the German publication. We would not have a comprehensible work without their sensitivity and understanding regarding terms as used in nursing and philosophy. We are also grateful for the support of our American editor for two editions, Ruth Chasek at Springer, and our German editor for the first edition, Klaus Reinhardt at Huber.

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Introduction

Hesook Suzie Kim

Nursing's theoretical knowledge has a rich heritage in its development, dating back to the writings of Florence Nightingale and emanating from the work of many nursing scholars of the past three decades. Although there is a continuing debate about whether nursing theories, as they exist, are mature enough or rigorously developed, nursing theories, large and small, have become the cornerstone for understanding and guiding nursing practice in the current decade. However, there are many questions about nursing theories and their contents that trouble students of nursing, whether they are undergraduate or graduate students or practicing nurses.

One of the major difficulties voiced by many is related to the presence of numerous nursing theories, all of which claim to have answers to nursing questions and to provide guidance to nursing practice. Although nursing theories in general are presented with the supposition that they are oriented to describe and explain nursing's concern, each is based on assumptions, philosophies, values, perspectives, and scope that are unique. Different foundational ideas, both conceptual and philosophical, orient nursing theories to describe and explain the phenomena of concern to nursing in diverse ways. Though nursing theories in general are not presented with coherence among the theories' components, precision in conceptualization, and logic in structure, it is not too difficult to extract the theories' perspectives and assumptions that enlighten us about their orientations regarding how nursing

phenomena are treated theoretically. A synopsis of nursing theories, mostly the so-called grand nursing theories, is given in Appendix A to orient readers to their foundations.

Many books written about nursing theories contain categorization of nursing theories into different sorts. For example, Meleis (1996) categorizes them as having systems, holistic, adaptation, and behavioral orientations, and puts them into theories on nursing clients, on human being-environment interactions, on interactions, and on nursing therapeutics. On the other hand, Parse (1987) treats five nursing theoretical models in terms of the totality and simultaneity paradigms. Obviously, different nursing theories have been developed with various conceptual and philosophical orientations, which usually lay foundations for the ways theorists view humans, human life, human relations, or practice. Theoretical assumptions that undergird theories stem from differing conceptual and philosophical orientations, and they have intimate connections to theories' substantive contents.

This approach to theory development depicts especially the grand theory development in nursing that occurred throughout the 1970s and 1980s. Thus, the so-called grand theories of nursing—such as Rogers' science of unitary human beings, Roy adaptation model, Orem's self-care model, Neuman's systems' framework, Parse's human-becoming theory, and Watson's theory of human care—are identifiable as having their foundational bases on specific ontological or philosophical orientations. Following this initial fervor of grand theorizing in nursing, however, nursing's theoretical work has focused on developing middle-range theories in the 1990s and the current decade (Liehr & Smith, 1999; Smith & Liehr, 2003). A list of middle-range theories in nursing is given in Appendix B, compiled from a review of the literature through 2004, in order to show the diverse subject matters addressed in these theories. Although some of the middle-range theories have been developed directly from specific grand theories such as those of Rogers and Roy (for example, the Rogerian theory of power by Barrett, 1992; and the urine control theory from the Roy model by Jirovex, Jenkins, Isenberg, & Baiardi, 1999), many have been developed independently, applying various theory development strategies such as the theory synthesis method of Walker and Avant (1995), as in the theory of unpleasant symptoms (Lenz & Pugh, 2003), and the grounded theory approach applied in many theories identified by Benoliel (1996). Thus, such middle-range theories are undergirded, though often not specified clearly, by various

philosophical perspectives depending on their conceptual or methodological orientations and starting points. This means that there is a greater need at present to examine various conceptual and philosophical ideas that underpin nursing theories.

We offer in this book expositions that analyze selected nursing theories' conceptual and philosophical foundations so that nursing theories are not only understood in terms of their contents but also from their foundational ideas. This is based on the belief that users of nursing theories for research, practice, or education must have an understanding and enlightenment about theories regarding what the theories aim to describe and explain, and also from what ontological and epistemological perspectives such theoretical descriptions and explanations are developed. This, we believe, can be done only through in-depth analyses of the foundational ideas, examined within broad contexts from which different conceptual and philosophical orientations originate.

THEMES AS THE BASES FOR THEORETICAL UNDERSTANDING

In this edition, we have included thirteen themes as the basic orientations in nursing theories for examination in this book. These themes have become the major ideas that underline nursing's theoretical development, and have provided different starting points for theory development and contents. Six of them are thought to have conceptual foci as their starting points, while three are primarily oriented to the ontology of humans and one is specifically oriented to a philosophy of nursing. A chapter on pragmatism has been added in order to address the impact of this philosophy on nursing knowledge development and practice. The chapters on biography and evidence-based nursing address ideas relevant to practice and theory development.

A conceptual focus refers to a specific conceptualization of human aspects or nursing practice and provides an angle of vision regarding the phenomena with which a theory is concerned in offering understanding and explanation. In nursing theories, a conceptual focus often is a way of organizing our understanding of human phenomena. Conceptual themes have grounding in different domains of nursing, that is, in what Kim (1987, 2000) differentiated as the client domain, the client-nurse domain, the environment domain, and the practice domain.

Included in our analyses of nursing theories are the conceptual foci of *adaptation*, *human needs and needs*, *illness as risk*, and *self-care* grounded in the client domain, which are concerned specifically with the conceptualization of clients, client phenomena, and clients' nursing problems. These four themes are different conceptual orientations framing the phenomena in the client domain. Theories with their focus on these concepts view nursing clients primarily in terms of (a) how well they respond to forces that impinge on them (adaptation focus); (b) in what state they are in with respect to what they need or require in order to sustain or grow (human needs focus); (c) how attribution of illness as risk and the conceptualization of health and illness as a continuum determine and influence the ways clients experience illness and patienthood; and (d) how effective and efficient they are in handling obligations of living (self-care focus).

In addition, *human interaction* as a theme in the client-nurse domain offers the bases for examining nursing theories' orientations on client-nurse interaction. Nursing has traditionally been interested in studying interaction as client-nurse interaction. This is viewed as both the medium through which nursing care is processed and as the mode with which nursing produces its therapeutic effectiveness. We also include analysis of the concept of *transculturality* in relation to nursing theories. The concept of transculturality is considered to have reference to the environment domain, as culture is an environmental context in relation to human health. The concept of transculturality is viewed as grounding nursing clients and nursing practice contextually within cultural frames

The themes of *holism*, *systems*, and *existential phenomenology* provide the analyses of nursing theories from their ontological beginnings. These are themes adopted by nursing theories as three that provide specific ontological perspectives regarding humans, human entity, and human experiences. The theme of *caring and humanism* provides a framework for examining nursing theory from the philosophy of nursing perspective.

The philosophy of *pragmatism* is taken up because during the last two decades it has become one of the most debated and often controversial orientations regarding knowledge and human practice. Two new chapters on *biography and biographical work* and *evidence-based nursing* deal with recent themes that have emerged in the nursing scene as relevant concepts for nursing practice and theory development.

A FRAMEWORK FOR THEORETICAL UNDERSTANDING

Many books have been written about theories in nursing (for example, Barnum, 1994; Fawcett, 2005; Fitzpatrick & Whall, 1996; Meleis, 2005). Most of these are oriented to the analysis and critique of theories by adopting certain criteria for identifying theoretical assumptions, distinguishing contents, and evaluating the maturity, completeness, and logic of theory. In general, theories and theoretical frameworks are examined with respect to different components and aspects related to them. These are as follows:

1. **Theoretical Perspectives**—provides insights to the theory's worldviews and angle of vision regarding the phenomena of interest from the conceptual, ontological, and epistemological orientations
2. **Basic Assumptions and Premises**—further illuminates the theory's orientations regarding how one is to understand and explain nursing phenomena
3. **Concepts and Their Definitions**—specifies major concepts used in the theory and their conceptualizations
4. **Theoretical Structure and Statements**—specifies the form of theory and its structure and the nature of theoretical statements developed for the theory
5. **Chronological Order of Progression**—provides an understanding regarding the order with which a given theory has progressed over time
6. **Theorist(s) and Major Proponents**—provides insights into the theorist's scientific orientations that undergird the theory development

Comprehending nursing theories require multifaceted approaches, beginning with a descriptive understanding of theories, which comes from a thorough reading of original work. From this initial understanding, one can move toward a critical understanding based on analysis and evaluation of a given theory in terms of what it proposes as well as the foundation from which its proposals originate. It further involves a strategic understanding through which one can gain an appreciation of the processes of theory development and the background under which a given theory has emerged. This can be done by analysis of a given theory's evolutionary progression and through an in-depth understanding of the philosophical and theoretical commitments of

the major proponents of a given theory. Table 1.1 shows how such multilevel approaches may focus on different aspects of understanding nursing theories.

This book does not attempt to analyze nursing theories from all of these analytical schemas, but is mainly oriented to the study of nursing theories from the analysis of foundational perspectives. The authors' aim is to provide a review and analysis of nursing theories that can add to the comprehension of theoretical work in nursing using an approach that is different from those adopted by major authors who focus on analyzing theories for content and logical structure. Our approach is to examine nursing theories from the analysis of conceptual and philosophical perspectives that undergird nursing theories. The themes identified as the major conceptual and philosophical orientations are examined for their meaning, ontological orientations, and epistemological implications. Theories relevant to each of the themes are then examined and contrasted in the context of the theme's definitional, ontological, and epistemological discussions. Hence, the reviews are oriented to identifying and examining the foundations on which the theories are developed. This level of studying theories will provide the reader with an appreciation of theories' perspectives and

TABLE 1.1 Multifaceted Approach to Theoretical Comprehension

Types of Analysis	Aspects of Theory Comprehension
Thorough Reading	Understanding the language and structure of theory
Analysis of Contents for Metaparadigm Orientation	Understanding the scope of theory
Analysis of Theory Structure	Understanding the theoretical precision and logic-in-use in terms of concepts and theoretical statements
Analysis of Coherence Among Components	Understanding the coherence and organization among theoretical components
Analysis of Foundational Perspectives	Understanding the conceptual and philosophical orientations regarding the images of humans and nursing, conceptualization of key phenomena, and theoretical explanation
Analysis of Theory Progression	Understanding the theory development process
Study of Theorist/Major Proponents	Understanding the theorist's perspectives and visions regarding theory development

philosophical issues pertinent to theory development in nursing. This orientation has guided the analyses offered in the following chapters.

The concept of human need is analyzed from a general analytic perspective in chapter 2, identifying some of the key need theories in nursing, while chapter 6 offers a discourse analysis of the current status of the concept of needs in nursing. In chapter 3, the concept of adaptation is analyzed in its meanings used in relation to populations and species and individuals. It furthermore addresses their implications for nursing's theoretical approaches regarding client phenomena.

The concept of self-care is examined in chapter 4 focusing on the meanings and social implications of upholding this as a valued concept. Issues of interaction and communication are analyzed in chapter 5 in relation to specific nursing theories dealing with client-nurse interaction.

In chapter 7, holism is investigated for its philosophical roots, identifying diverse orientations and multiple interpretations of this philosophy. It is then examined in relation to nursing theories, especially in terms of the theory of unitary human beings by Rogers, and implications of diverse holistic philosophies on nursing theory development. The concept of philosophy of system is examined in chapter 8, tracing it from the general systems orientation and new systems perspectives. Nursing theories with a systems focus are then examined in their specific orientations within the concept of system.

In chapter 9, the philosophy of existential phenomenology is described, tracing its philosophical roots in phenomenology and existentialism, and Parse's theory of human becoming is examined within the tenets of existential phenomenology. Chapter 10 offers an in-depth analysis of philosophies of humanism and caring and their implications for nursing theory development. The historical and philosophical origins of humanism and caring are traced and analyzed to depict and contrast how these philosophies are adopted in nursing theories. In chapter 11 an exposition on the philosophy of pragmatism is offered in relation to ontology, epistemology, and human conduct. It then examines implications of this philosophy on nursing practice and nursing knowledge development.

New developments relevant to nursing practice and knowledge development dealing with biography and evidence-based nursing are analyzed in chapters 12 and 13.

In chapter 14 an analysis of the concepts of culture and transculturality is offered in relation to its meanings for clients and nursing practice. This chapter uses the German situation as the background

for discussing the perspectives of universalism versus culture-specificity in dealing with understanding people's lives and nursing practice. Multicultural context of living and nursing practice of the current scene in most countries raises questions regarding how our notions about differences by cultures and "otherness" need to be aligned with concepts of fairness and equality. Transculturality and multiculturalism are paradoxically associated with other philosophies and principles critical to our knowledge and practice.

Chapter 15 deals with the conceptualizations of health/illness as a continuum and illness as risk, and offers a postmodern critique that raises questions regarding the meaning of normality and abnormality and implications of illness concept as risk in developing theories about clients and health care in nursing.

In chapter 16 a postscript is offered with an examination of the culture of German nursing and nursing science.

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