

# Chapter 1

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## The Concerns-Based Approach: An Overview

### *Principal*

What a year! What a relief that summer is here and students and staff are gone. We really came a long way with the new schoolwide math program. I'm especially pleased that I was able to work with the "reluctant" seventh-grade team and help them gain the confidence to come along with the program—quite an accomplishment. Yes, quite an accomplishment!

### *High School Science Teacher*

How would I ever have made it with this inquiry science curriculum if our principal hadn't come by regularly bringing equipment, helping me understand the lessons, and even teaching with me!

### *Elementary School Teacher*

You wouldn't believe what I observed the principal doing! From information she collected from her teachers she made plans and got the first-grade parents involved in helping the teachers. The parents get the program materials ready so the teachers can use them with the pupils. This idea by the principal was followed by another idea involving the school's permanent substitute who helps teachers in the same area. This principal is developing a whole range of creative activities to support the use of the new language arts materials by the teachers.

Throughout our years of research and experience, we have never seen a situation in which the principal was not a significant factor in the efforts of schools to improve. We do not mean to suggest that in all cases the principals were positively effective; but

rather, regardless of what they did, it directly affected the process of change and improvement in their schools. We also have observed that both men and women can be effective, as well as less effective, principals and that there are definite patterns to the behaviors and techniques that the more and less effective principals use in their change facilitator role. We further believe that, with guidance and training, many principals can become more effective in facilitating change. There are research-based tools and techniques that can help principals and other change facilitators reach this goal. The techniques are based upon the concepts and findings of the research we and our colleagues have done.

The premise that principals can make a positive difference is not taken lightly. Only after extensive observation and research have we come to this position. In our studies, we have observed and interviewed thousands of teachers and hundreds of principals. In addition, we have worked closely with college and university faculty, staff developers, central office administrators, and key personnel in intermediate units, state education agencies, and federal agencies. Throughout all these experiences, we have observed differences in how principals spend their time, how they approach the work of being a change facilitator, and how they set priorities. Clearly, these differences have effects on teachers and on their classroom practices. The specifics on how principals exert this influence have been clarified gradually. We can now identify and describe an array of techniques that principals can use to affect directly the concerns of teachers, classroom practices, and ultimately student achievement.

In this book, we will summarize the findings from fourteen years of research and observation. The research has been done in elementary schools, high schools, and in schools and colleges of education. The focus will be upon identifying and describing the tools, techniques, and approaches individuals can use to be more effective as change facilitators.

Although much of our emphasis will apply to principals, we believe the propositions and concepts set forth here are equally applicable to others concerned about and interested in becoming more successful change facilitators. These "others" can be assistant principals, department chairpersons, lead teachers, or grade-level chairpersons at the school level. At the district level, cur-

riculum coordinators or consultants, subject specialists, staff developers, and district office administrators can use this information. All these persons and others such as staff members in intermediate units and regional laboratories and National Diffusion Network facilitators, can be change facilitators, and this book is addressed to all of them.

This book offers two sets of potentially useful information. The first set, which has already been referred to, includes the concepts and procedures anyone can use to facilitate change. The second, particularly important set also has to do with understanding the dynamics of the change process, but when individual teachers are the unit of analysis, when the innovation(s) is the unit of analysis, when interventions are the units of analysis, or when the school is the unit of analysis. To be most effective in facilitating change, principals in the schools and persons in the district offices and elsewhere must understand the dynamics of the change process as it occurs *within* schools. The change process can be perceived quite differently by outsiders and participants. Bridging this gap is an essential first step for effective change facilitators.

Earlier, we referred to principals as "change facilitators." This definition arose because one focus of our research has been on that part of the principal's role having to do with facilitating school improvement and implementing educational innovations. Admittedly, there are many more responsibilities of and roles played by school principals; however, a key role is that of change facilitator for their campuses. What they do, how they do it, when they do it, and to whom they do it make major differences. Principals know that what they do can make a difference. Teachers, policymakers, and researchers also know principals can bring about change. There is an extensive body of literature that points out the importance of the relationship between what principals do and what happens in schools; yet, identifying the concrete concepts and techniques practicing principals use daily has been difficult. Only in the last ten to fifteen years have research-based procedures been sufficiently well documented and described to enable development of concrete recommendations on how to become more effective.

Our present ideas on how principals and others can become

more effective change facilitators is the subject of this book, and we begin in this chapter by briefly describing the concepts and tools we have developed, as well as by introducing the key assumptions that underly our research and conceptual framework. In the remaining chapters, the concepts, research findings, and examples are described in more detail. At certain points, the research we and our colleagues have done is related to the research of others. In this way, readers will gain a new repertoire of resources with which to examine their own change facilitating behaviors, their plans, and the ways they view the change process as it unfolds for teachers, students, central office personnel, and others. We believe readers can become more effective as a result of this examination and through appropriate use of the tools and concepts herein described; however, it will require practice, further training, and coaching to gain maximum benefits.

### **The Purpose of This Book**

Principals have been one of the focuses of recent research on school effectiveness. Principals have also been a center of attention in the concerns being expressed about the decrease in children's reading ability and in their scores on standardized achievement tests. Increasingly, the principal is being held accountable for the performance of students. The argument goes this way: if students are to have the greatest possible cognitive and affective gains, the schools will need to do the best possible instructional job. The most significant way to improve schools is through improving the instructional performance of teachers. Changing a teacher's practices and improving instruction is the bottom line, but teachers need assistance to change and develop. Who provides the leadership that facilitates teachers' improvement? There are several persons who can conceivably help teachers, but the most obvious individual is the principal. Not only is the principal legally responsible for what happens in a school, but the principal is in a special position. The principal is on-site, is knowledgeable about and in touch with the setting and context, is at the center of communication lines, controls resources, and has the power base to make a difference. Principals are seen as

equivalent to managers in industry, and they are accountable for the productivity of their unit. Since there is a lot of truth to this argument, we decided to focus primarily on the change facilitator role of the principal. As we mentioned in the preceding pages, however, the concepts about which we are talking are generic and are powerful tools for use by others.

The concepts and results of our research are based on a particular approach we refer to as the *concerns-based approach*. This approach comes from a conceptual framework known as the Concerns-Based Adoption Model (CBAM), originally proposed in 1973 (Hall, Wallace, and Dossett). One particularly important precondition in the concerns-based approach is that the effective change facilitator understand how his or her clients (e.g., teachers) perceive change and adjust what he or she does accordingly. In too many cases in the past, it appeared that change facilitators based their interventions (i.e., what they did) on their own needs and time lines rather than on their clients' needs and change progress. As the first step, the concerns-based perspective places utmost importance upon understanding the clients.

For schools to improve, teachers must change. For teachers to change, there must be appropriate and promising practices and procedures (i.e., innovations) that they develop or adopt and, when necessary, adapt. Student achievement and other desired outcomes are enhanced when teachers improve their practices and use more effective instructional resources. Thus, the first order of business for school principals and other change facilitators is to understand the practices of teachers and their concerns about changing.

We believe that addressing and facilitating change can be done in humane and understanding ways. One of the strengths of the concerns-based approach is that it emphasizes, first of all, understanding teacher attitudes and skills so that support activities, such as staff development, coaching, provision of materials, and so on, can be directly related to what teachers perceive they need. Historically, teachers have all too often been provided with workshops, materials, and other resources based on the needs of others rather than on an understanding of teachers' needs.

Basically, we believe principals are responsible for their

schools' continual efforts to improve. For progress to occur, they must provide leadership in the school improvement process. They must work closely with teachers and have a well-developed picture of what is going on in the classrooms and across the school. They should understand the characteristics of the innovations being implemented and be able to anticipate some of the problems that might arise. However, other change facilitators can also play key roles, and we certainly believe principals cannot facilitate change alone. As will be pointed out in chapter 9, one result of our research has been the identification of a key second change facilitator/*consigliere*, who plays a very significant and complementary role to the principal's. Thus, another very important emphasis in this book is on creating and maintaining a concerns-based *change facilitating team*.

This book is written for those who wish to become more effective change facilitators. To this end, we have placed heavy emphasis on describing concepts and tools from our research that can be used in practice. More effective change facilitators understand the change process and its dynamics and are able to analyze school improvement efforts systematically. We will describe concepts and present the results of research, introducing references and other resources that can be used to develop skills and perspectives.

In one book, it is not possible to relate all the possible techniques and procedures or to prepare the reader to take on all situations. We believe, however, that careful students of the concerns-based approach will learn enough about the concepts and techniques to begin testing them in appropriate settings. The person who wishes to become skilled in using these concepts will need to study further. Further information can be obtained by accessing the references and resources identified in the book and through contacting one or more of the certified trainers listed in Appendix A. With practice and reflection, change facilitators can become more effective, and, consequently, efforts to change will be more successful.

Let us now set the stage with some background about our work and its underlying assumptions, with an overview of key concepts, and with some suggestions about the implications.

## Background of the Concerns-Based Approach

The ideas for the Concerns-Based Adoption Model and for the tools and techniques that have been developed emerged out of the research and practice opportunities we and our colleagues have engaged in since the early 1970s. During this time, the value of many of the innovations that had been introduced in schools was questioned. It became increasingly apparent that the post hoc evaluations of the many educational innovations were only half correct. Evaluators were right to report “no significant differences” related to the innovations, but incorrect to conclude that the innovations were at fault; rather, we believe that the process of implementing these innovations had gone awry or was not fully addressed. Consequently, the innovations were frequently not fully implemented and, therefore, not fairly tested.

This situation led us to observe more closely the experiences of teachers and college professors as they adopted and implemented educational innovations. Seemingly, there was more to change than simply delivering the innovation “box” to the classroom door; rather, a *process* was involved. We hypothesized that there was a set of developmental stages and levels teachers and others moved through as they became increasingly sophisticated and skilled in using new programs and procedures. From our field observations and studies, we documented examples and began to describe these stages and levels, thereby contributing to the Concerns-Based Adoption Model. Subsequently, we observed and documented what various change facilitators, including school principals, were doing to address and attend to the different stages and levels teachers were experiencing. Through this work and related studies of others, a large and comprehensive research base has been developed.

We have chosen our words carefully when interpreting our data and discussing the findings with practitioners, policymakers, and researchers. We have also clarified many of the assumptions underlying our approach. Some of the concepts we use are defined here in special ways, as part of explicating the Concerns-Based Adoption Model (CBAM). Other terms are used as general labels for phenomena. In each case, we offer our definition for

the term or concept, and we use examples to illustrate our usages. We hope readers will be able to relate their particular experiences to our descriptions and thus derive more meaning from them. By using the same language to describe research findings and practice, it will be possible to link the abstractions with the "real world," thereby bringing both into clearer focus. But first, our assumptions.

### *Assumptions/Perspective*

There are several important assumptions and assertions that underlie the CBAM work. Some of them are presented here, and additional assumptions will be outlined as they become relevant.

1. **UNDERSTANDING THE POINT OF VIEW OF THE PARTICIPANTS IN THE CHANGE PROCESS IS CRITICAL.** There is a personal side to change that is frequently ignored. As has been emphasized already, we believe that, for change to be successful, the perceptions of the clients (e.g., teachers) must be understood by themselves and by the change facilitators. Without understanding where the clients "are," only through chance will the interventions made by change facilitators address the needs of innovation users and nonusers. One reason that change processes are not successful and that many worthwhile actions meant to support change are rejected by the participants is that interventions are not made at appropriate times, places, or in ways perceived by the clients as relevant. How many times do we need to hear teachers say, "Oh, now I understand what she was trying to say last year. It sure didn't make sense then," before we begin to take seriously their perceptions as a key part of the diagnosis? In chapter 3 we will be describing, as one diagnostic component, ways in which change facilitators can assess and interpret client "concerns." By understanding concerns, change facilitators can be more certain that their interventions are relevant to the needs perceived by their clients.

2. **CHANGE IS A PROCESS, NOT AN EVENT.** This assumption was first articulated by us in 1972, and it is still critical to our understanding of change. Until very recently, change facilitators, policymakers, and researchers tended to view change as an event. Policymakers would announce that a change was to occur on a particular date. The innovation would be delivered to the school,



and it was assumed teachers used it. It was also assumed that the teachers used the innovation appropriately. Summative evaluations were concluded during the first year of use. Subsequently, the innovation was judged a success or failure, and the next "fix" was selected for adoption. More recently, it has become clear, especially through CBAM research, that there is a process involved in implementing educational innovations and that this process requires time. Furthermore, there are phases and steps in the process that can be used to plan and pace change.

3. IT IS POSSIBLE TO ANTICIPATE MUCH THAT WILL OCCUR DURING A CHANGE PROCESS. We are often amused when change facilitators are surprised by some occurrence we could "see" coming. We believe it is possible for change facilitators to anticipate much that will occur during any change process. There are many predictable events and happenings. The most likely reactions to typical interventions and the emergence of particular needs can be anticipated. As a consequence, many aspects of the change process can be planned. By planning for the likely, the effective facilitator is better able to handle unanticipated occurrences and to utilize more effectively his or her limited time and resources.

4. INNOVATIONS COME IN ALL SIZES AND SHAPES. The term *innovation* is used in this book to represent the program or process being implemented. It does not necessarily represent something major, new, large, or dramatically different. An innovation can be something introduced several years earlier or something not expected to arrive for several years to come. Further, innovations can be either *product* innovations, such as new textbooks or curriculum materials, or they can be *process* innovations, such as different approaches to discipline, counseling techniques, or instructional procedures. The reader should keep in mind that for most of the discussion in this book, we will assume the innovation has positive attributes and is appropriate for the setting. At several points, we will describe what happens when "bad" or inappropriate innovations are introduced.

5. INNOVATION AND IMPLEMENTATION ARE TWO SIDES OF THE CHANGE PROCESS COIN. In all cases, regardless of the type of change, in addition to the steps and procedures employed for developing the innovation, there is a parallel set of steps and procedures for its implementation. More has been written about the procedures to be

used in developing educational innovations than about how to implement them. Innovation development plans rarely take into account the complementary set of steps necessary to ensure that the innovation is used. In more successful change efforts, we have observed that there is a parallel set of policies and procedures that address implementation and the change process is viewed as consisting of innovation development plus implementation.

6. **TO CHANGE SOMETHING, SOMEONE HAS TO CHANGE FIRST.** The ultimate effectiveness of an innovation depends on whether teachers and others change to incorporate the new practice. Thus, attention must be given to individuals and their nonuse/use of the new practice. Once an understanding of the individual has been developed, there are ways to aggregate individual data and examine the change process for an entire school or district. The first step, however, is to develop a picture of how each staff member, as an individual, experiences the change process. Only then is it appropriate to aggregate the individuals and plan the change process for all involved staff.

7. **EVERYONE CAN BE A CHANGE FACILITATOR.** All too frequently, responsibility for facilitating change is assigned to one person, such as the school principal, and everyone else assumes the job is done. Everyone in a school can be a change facilitator, however, including teachers. Parents, textbook sales representatives, intermediate unit staff, and sometimes even students make interventions intended to help teachers use innovations. Change facilitation for an organization is not a task that can be assigned to one person and then forgotten. Ultimately, change facilitation is a combination of workshops, telephone calls, newsletters, conversations in the lounge, and tips—tasks that we all do. Change facilitation is a shared responsibility that, in the most successful schools, involves everyone at one time or another.

These assumptions are parameters that guide the concerns-based approach. As the reader will see, they become cornerstones for the concepts, tools, and procedures that will be developed in more detail in later chapters. Essentially, we are advocating that change is a process for and by people. It has its technical side and its human side. It starts and ends with individuals, who in combination make our schools effective. The concerns-based approach offers a research-verified way for us to think about, plan

for, monitor, and facilitate change, a way that takes into account the assumptions described above. There is, of course, more to change than can be represented in any single framework or model; however, here we can share some of the concepts that help by providing handholds and milestones useful in developing movement and charting progress. The concepts of the CBAM offered in the remainder of this book have been shown to have this utility.

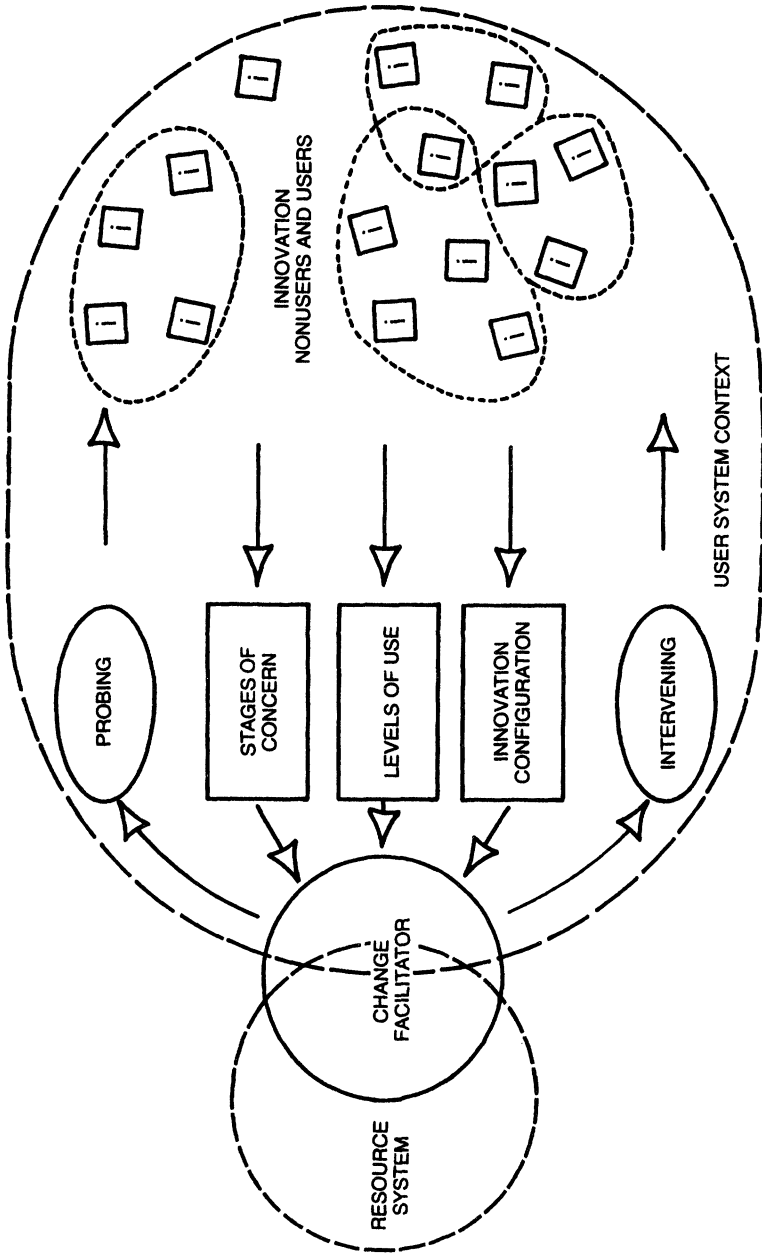
### **Overview of CBAM Concepts**

Since the Concerns-Based Adoption Model (CBAM) represents the conceptual framework for the research and theory to be described, it is important for the reader to start developing a picture of the essential elements of the model. A graphic representation of the model is included as figure 1. Clearly, no framework can capture all the complexity of the change process, but it should organize the phenomena and provide some keys. The keys in the CBAM model are labeled in figure 1 and represent the major elements—the subject of our research.

Note the Change Facilitator (CF) in the framework. Change facilitators can be principals, teachers, district personnel, intermediate and higher education personnel, and others who, for brief or extended periods, assist various individuals and groups in developing the competence and confidence needed to use a particular innovation. We have deliberately chosen the term facilitator rather than the more traditional term, change agent, since we believe facilitation is, indeed, the task about which we are talking. The term agent suggests a power-invested, one-way, coercive/manipulative approach to change that from our research and experience, appears to be unreasonable and impossible. The facilitator's job is to facilitate, which means to assist others in ways relevant to their concerns so that they become more effective and skilled in using new programs and procedures.

The *change facilitator* is thus a key in the CBAM model. The change facilitator can be a line administrator, such as a school principal; however, he or she can also be a member of the staff, such as a teacher or central office curriculum coordinator. Each

**Figure 1**  
**THE CONCERNS-BASED ADOPTION MODEL**



person's place in the organizational chart clearly makes a difference in what he or she can and cannot do; yet, all effective facilitators respond and deliver their actions in similar ways, based on the needs of their teachers at any particular time. In other words, there are some generic competencies and skills change facilitators should have regardless of their placement within the organization.

Change facilitators have a *resource system* they can utilize. A principal in a large suburban or urban district, for example, has access not only to his or her own professional library, but perhaps also to an assistant principal, other teachers, and various resources of the central office, including staff developers and curriculum coordinators. In combination, these resources can be quite powerful. The dilemma for the change facilitator, though, is to determine which resources to use, when to use them, and how to use them. Making such decisions requires an ongoing concerns-based diagnosis.

In the CBAM model, change facilitators are responsible for using informal and systematic ways to *probe* individuals and groups to understand them. Three dimensions have been identified and verified through research for accomplishing this diagnosis: *Stages of Concern (SoC)*, *Levels of Use (LoU)*, and *Innovation Configurations (IC)*. With these three sets of diagnostic data in mind, the change facilitator is informed enough to provide *interventions*—actions that affect and facilitate teachers' use of new programs or practices.

The three diagnostic dimensions, Stages of Concern, Levels of Use, and Innovation Configurations, represent key aspects of the change process as it is experienced by individual users. The Stages of Concern dimension addresses how teachers or others perceive an innovation and how they feel about it. Seven different Stages of Concern have been identified. These range from early "self" type concerns, which are more teacher focused, to "task" concerns, which address the logistics and scheduling arrangements with regard to the use of the innovation, and ultimately to "impact" kinds of concerns, which deal more with increasing the effectiveness of the innovation. Research has demonstrated that at different points in the change process, different Stages of Concern will be more intense. Thus, one key for the change facilitator

is to know whether a teacher has more intense self, task, or impact types of concerns. The implication is that the content as well as the design of the facilitators' interventions will depend upon which concerns are more and less intense.

Similar reasoning applies to the second diagnostic dimension, Levels of Use of the innovation. Levels of Use addresses what a teacher is doing or not doing in relation to the innovation. In the past, use was considered to be a dichotomous variable; a teacher either was or was not using the innovation. With understanding of the Levels of Use dimension, the question becomes not one of use or nonuse, but of what level of use?

Three different levels of *nonuse* have been identified. They describe those who are taking "no action" to learn about an innovation to the person who has decided to use it. Five different *use* levels have been determined. These begin with mechanical use, where teachers are closely adhering to the user's manual and attempting to adjust their behavior to take into account unanticipated events associated with inexperience in using the innovation. Ultimately, users will move on to routine and later, perhaps, to refinement use, where they make adaptations in the use of the innovation to increase its effectiveness and impact in their classrooms. Levels of Use, or how teachers are using an innovation, is specific input for the facilitator in determining how to help teachers become increasingly successful and effective in using the innovation.

The third diagnostic dimension, Innovation Configurations, addresses the innovation itself. This diagnostic dimension focuses on describing the operational forms an innovation can take. Teachers may adapt, or in some cases, mutate the innovation as they become involved in its use. Through Innovation Configurations, it is possible to identify and describe the adaptations that are in use and plan one's interventions in accordance with the actual operational form of an innovation in particular classrooms.

These three diagnostic dimensions, Stages of Concern, Levels of Use, and Innovation Configurations, are independent concepts. A person can be at any particular Stage of Concern and Level of Use with any particular configuration of the innovation at any given time. Therefore, the concerns-based change facilitator continually probes to assess the current state of teachers in each of

these dimensions. Diagnosis must be ongoing, and various procedures ranging from one-legged conferences to systematic questionnaires have been developed for meeting this goal. Each of the diagnostic dimensions and their assessment techniques is described in chapters 3, 4, and 5.

Another key to the change process in the CBAM is understanding the *interventions* that change facilitators make. The actions and events that influence teachers' use of an innovation are the basis for the change facilitator's efforts. Once a diagnostic profile is developed, something must be done. In our workshops and elsewhere, we have spent a lot of time insisting that change facilitators "do something." We have learned that action is one of the significant differences between more effective and less effective change facilitators. More effective change facilitators rarely miss an opportunity to do something. They watch for opportunities to take actions, even small ones, to foster and facilitate teachers' mastery of new programs and procedures. Understanding the different sizes and characteristics of interventions is important for change facilitators. Connecting interventions with each other and monitoring one's own intervention behaviors are also keys. As part of our research, we have developed a taxonomy for analyzing the interrelationships between interventions and for analyzing the internal parts of each intervention. Chapters 6 and 7 are devoted to describing Intervention Taxonomy and Anatomy of Interventions, and their use as analytic tools.

*Context* is also critical in understanding the change process. Different contexts place different constraints on what change facilitators can do and, at the same time, generate unique opportunities for facilitating change. Whether the change facilitator is a classroom teacher, assistant principal, central office coordinator, or whomever, they operate in a particular context. We do not believe that context in and of itself determines the success or failure of change efforts. Instead, change facilitators apparently differ in how skilled and effective they are in interpreting and using their context. More effective change facilitators seem able to identify opportunities in their contexts, while less effective change facilitators, in very similar contexts, perceive more constraints and therefore fewer opportunities to facilitate. We do not

believe in being passive victims of context. The importance of context cannot be overlooked and will permeate our discussions.

Another key to the concerns-based perspective is represented in the arrows within the graphic representation presented in figure 1. If change is a process, not an event, then it is critical for the change facilitator to be *adaptive*; furthermore, they should be *systemic* in their thinking. The most powerful framework developed in recent years for analyzing change has been adaptive systems theory, with the related mathematical and practical applications derived from it (Bellman and Kalba 1958, 1959; Bellman 1961). In education, little has been done to introduce change facilitators and others to this way of thinking. According to the adaptive systems framework, change facilitators must continually adapt their behaviors based on new information about clients, contexts, and the effects of interventions on the individuals in the organization. By consistently gathering information about the state of the system, facilitators can adapt and adjust their behavior to be more relevant. As they make interventions, the system state changes, affecting individuals, groups, and their interrelationships. Thus, change facilitators must continue to assess the new system state and to use this data as the new diagnostic basis for making interventions. The effective change facilitator is constantly probing, adapting, intervening, monitoring, and listening to the client system. The effective change facilitator thinks *systemically* about how a change or alteration in one element of the system will affect other elements and subsets of the system. This ongoing, adaptive process is similar in many ways to how a biological organism adapts to its context or how human body systems shift and adapt depending on whether one has just eaten steak or candy. The CBAM model provides a set of concepts and tools to help change facilitators think and work in this same manner. Discussing ways to do this constant probing–adapting–intervening–probing–adapting–intervening is what this book is about. It is also about the people in the process, how to respond to their needs and perceptions and how to support their professional and personal growth, relative to the use of worthwhile innovations.



## **Implications**

The concerns-based approach represents a unique way of looking at the change process. All too frequently innovations are "laid on" teachers or presented during an August "God bless you" workshop. The teachers are then left to struggle and discover through trial and error what the innovation is about and how to use it effectively. When a concerns-based approach is used, change facilitators work in concert with teachers to address their emerging and evolving needs. In this way, not only is change viewed as a process, but the personal side of change as experienced by teachers is taken into account.

From extensive research and research application results, we know that this approach can make a difference. It can make a difference with the recipients of change, most often teachers, and it makes a difference with students, the ultimate target of improvement efforts. Once innovation users are confident and competent in their use of the new practice, they can afford to be more concerned about how their work is influencing students.

Perhaps a noneducational illustration will help readers clarify the picture we are trying to develop. Let us use the simple innovation of driving a car. From Levels of Use data, we would be able to determine whether or not a person is a driver or not a driver. For example, the person at Level III Mechanical use, mentioned earlier, would be apt to step on the brake too hard, forget to push in the clutch, shift in disjointed ways, and focus entirely on the next ten yards of the road. By contrast, the person at Level IVa Routine use would be able to drive from one place to another by smoothly operating the clutch, anticipating the entire trip, and not focusing overly much on the next turn in the road. The nonuser would be doing absolutely nothing to learn about driving a car, and no behaviors would suggest the person had the abilities to drive a car.

Stages of Concern information would reveal how the driver feels about and perceives driving the car. Perhaps you can remember the "self" concerns you felt the first time you sat behind the wheel, engine off, and went through the motions,

mentally regarding your competence and skill in driving and whether or not you could aim the car correctly. Self concerns are a very real and appropriate part of the change process. The change facilitators (in this case the driver education teacher and parents) will need to be reassuring and supportive when addressing self concerns. They will also probably want to spend more time addressing the task concerns dealing with details such as getting the car into gear and down the road.

Immediately, then, the change facilitator has two diagnostic dimensions to work with—Levels of Use (Do they drive?) and Stages of Concern (How do they feel about driving?). The third diagnostic dimension, Innovation Configurations, adds a very important piece of information—in this case, the kind of car being driven. There would be quite a difference in the approach to driver education depending on whether the innovation configuration is a Volkswagen Beetle, a Cadillac Seville, a Ferrari 308GT, or a Kenworth with 15-speed road ranger transmission. The driver education instructor needs to be adaptive in his/her coaching, based not only on the concerns and use patterns of the driver but also on the vehicle being driven.

The same procedure must be followed by the change facilitator in the educational environment. Attention should be given to teachers' concerns and levels of use, and on the configuration of the innovation they are using. How to accomplish all this and what these concepts really mean will be explained in detail in the remaining chapters.

One point of caution for the reader: Do not assume that you fully understand these various concepts from what you have read in this chapter. As a colleague of ours in New Mexico pointed out one time (and many others since), the concepts are "deceptively simple." Due to the labeling and to the fact that they implicitly make good sense, it is possible to talk about the concepts in rather superficial terms. For example, the car-driving analogy sounds straightforward. The same concepts can be used to develop a very complex description, however, as when teachers and others are involved in establishing an effective school or in implementing a major innovation bundle such as mainstreaming. There can be a great deal of subtlety and sophistication in the use of any one of the CBAM concepts. In combination, they provide a very powerful

set of resources for the change facilitator, but the facilitator needs in-depth understanding and skills to use them well.

Another caution: The effective change facilitator always checks his or her diagnosis with clients before acting. It is one thing to describe a set of diagnostic concepts and intervention procedures; it is quite another to apply these ideas to real-life situations. The first thing to be done after developing a diagnostic profile is to use various procedures for checking whether or not the diagnostic profile is accurate and if the situation is still the same. This checking can be done in informal ways such as listening to what people are saying and doing.

For the change facilitator, study and practice with CBAM concepts will produce a set of tools and procedures that can be used to monitor the change process, diagnostic data to facilitate implementation, and planning concepts to show where and how activities should advance. Thus, the change facilitator can increase his or her effectiveness through using these processes and procedures. For the evaluator interested in monitoring the change process and for the theoretician or policymaker, these concepts and procedures can make a difference in how successfully change is planned and assessed. There should be something in this book for every reader interested in the change process.

### **The Rest of This Book**

The remaining chapters of this book, with the exception of chapters 2, 10, and 11, are designed to introduce one of the basic dimensions making up the Concerns-Based Adoption Model. The book has been designed so that each chapter is read in sequence, beginning with chapter 1 and continuing through chapter 11. Additional references that may be useful to the reader in applying different concepts are cited in each chapter.

We concede that some readers will want to skip around. This can be done; however, the reader will lose some information and insight, since to some extent the chapters build from one to the next. In each chapter, key elements and concepts are described, and a combination of research findings, diagrams, and field examples are used to illustrate the concepts and procedures. In nearly all cases, easy-to-use clinical procedures are described.

Also available are research techniques that have the necessary reliability and validity characteristics for more rigorous assessment and monitoring purposes. The reader will know enough after each chapter to be just a little dangerous to themselves and others, for applying these ideas requires more than just reading. With practice, however, it is possible to become an effective concerns-based change facilitator; therefore, we hope the reader will be able to participate in training workshops or other forms of consultation after reading this book. Coaching and monitoring to see that the practice of these procedures is on target is important.

In chapter 2, the recent literature on change is reviewed. As was mentioned above, chapters 3, 4, and 5 are explorations of the three diagnostic dimensions of the Concerns-Based Adoption Model. In each chapter, a concept is described in detail, measurement procedures are introduced, and illustrations of the concept at work are provided.

Chapter 6 addresses the smallest unit of interventions, incident interventions. The importance of incident interventions is regularly underestimated by practitioners as well as by policymakers and researchers. We found in our studies that incident interventions were the key to the success or failure of change efforts. We feel so strongly about their importance that we have devoted an entire chapter to developing the reader's understanding of incident interventions.

In chapter 7, the levels of interventions and the development of an intervention game plan are explored. The incident interventions, although experienced apart, add up. In more effective and successful change efforts, these incident interventions aggregate in meaningful and collective ways so that the entire intervention game plan advances innovation use.

Chapter 8 addresses another part of the CBAM research by examining the *style* a facilitator uses. Although all change facilitator styles have not been examined, three contrasting styles have been the subject of study. The *responder*, *manager*, and *initiator* styles represent very different approaches school principals have used. There are clear and significant relationships between the change facilitator styles principals use and the resultant program implementation success by teachers. In this chapter, we examine the three styles, the behavioral indicators of the

styles, and the implications of using the styles for effective change.

Chapter 9 emphasizes a very important finding. In our research on principals, we were surprised to discover that “principals don’t do it alone!” In addition to the principal, in all our study sites we identified a second change facilitator or *consigliere* who played a very key role in facilitation. In fact, the *consigliere* and the principal seemed to work in complementary ways. In more effective schools, we found the *consigliere* and the principal making many more interventions together than in the less effective schools, and the relationship between them was more meaningful and substantive. In this chapter, the details of these analyses and the importance of the *consigliere* role are developed.

Chapter 10 illustrates how to put together all aspects of the concepts discussed. In this chapter, the diagnostic concepts, the assumptions about change, the adaptive systemic perspective, and the attention to the personal side of change are combined with illustrations and examples from research and practice. In this way, we hope the reader will develop a more complete picture, since in the previous chapters the units are rather isolated. In chapter 10, we bring the ideas back together with much more detail than was possible in the introductory chapter.

A final chapter discusses theoretical interrelationships of the diagnostic concepts and provides practical considerations about using the tools of the change process. The chapter concludes with suggestions for needed research and possible next steps.