# Foreword by Stephanie Hirsch xix

Preface xxii

# PART I The Context for Implementing Change 1

#### **CHAPTER ONE**

# Implementing Change: Patterns, Principles and Lessons Learned 3

WHY A BOOK ON "IMPLEMENTING CHANGE?" 3

FOCUS QUESTIONS 5

PRINCIPLES OF CHANGE

Change Principle 1: Change Is Learning-It's as Simple and Complicated

as That 6

Change Principle 2: Change Is a Process, Not an Event 8

Change Principle 3: The School Is the Primary Unit for Change

Change Principle 4: Organizations Adopt Change-Individuals

Implement Change

Change Principle 5: Interventions Are the Key to the Success

of the Change Process 11

Change Principle 6: Appropriate Interventions Reduce Resistance

to Change 12

Change Principle 7: Administrator Leadership Is Essential to Long-Term

Change Success 13

Change Principle 8: Facilitating Change Is a Team Effort 14

Change Principle 9: Mandates Can Work 15

Change Principle 10: The Context Influences the Process

of Learning and Change 15

Vignette: A Districtwide Change Initiative: Principles Addressed, Principles

Missed 16

```
SUMMARY
                   18
     DISCUSSION QUESTIONS
                                 18
     FIELDWORK ACTIVITIES
                                 19
     CONDUCT A STUDY
     ADDITIONAL READINGS/RESOURCES
                                             19
CHAPTER TWO
Developing Professional Learning Communities
                                                     20
     FOCUS QUESTIONS
                           21
     ORIGINS OF ORGANIZATIONAL CULTURE AND PROFESSIONAL LEARNING
     COMMUNITY
          Five Disciplines
                             22
          Seventeen Factors
                              23
          Vignette: The Driscoll Square School Difference
                                                           24
     THE PLC CONTEXT AND CULTURE
                                          26
          Dimensions of a Professional Learning Community
                                                           26
                Shared Values and Vision
                                          27
                Intentional Learning and Application
                                                    27
                Supportive and Shared Leadership
                                                  27
               Supportive Conditions
                                       28
                     Physical Conditions
                                           28
                     People Capacities
                                         28
               Shared Personal Practice
                                         28
          Structure of the PLC Dimensions
                                           29
          Who Is the Professional Learning Community?
                                                       30
          Benefits of a Professional Learning Community
                                                        30
               Schools
                           30
               Leadership Teams
                                   31
               University
                             31
    LEADERSHIP AND INTERACTION IN A PROFESSIONAL LEARNING COMMUNITY
                                                                                 32
          Collegial Learning
                              32
          Sharing Responsibilities
                                   32
         Using Conversations
                                33
         Types of Leadership
                                34
         Other Leadership Ideas to Be Considered
                                                  34
```

STRATEGIES FOR FACILITATING A PROFESSIONAL LEARNING CULTURE 35
OUR CLOSING PITCH 37
SUMMARY 38
DISCUSSION QUESTIONS 39
FIELDWORK ACTIVITIES 39
CONDUCT A STUDY 40
ADDITIONAL READINGS/RESOURCES 40
Assessment Instrument 40
Recent Books 40
PART II Tools and Techniques for Understanding Implementation
at the Individual Level 41
CHAPTER THREE
Clarifying the Change: Innovation Configurations 42
FOCUS QUESTIONS 43
THE CHANGE: WHAT IT IS AND IS NOT 43
INNOVATION ADAPTATION 44
INNOVATION CONFIGURATIONS AS A CONCEPT 45
MAPPING INNOVATION CONFIGURATIONS 46 Elements of Innovation Configuration Maps 47
IC Map Components 48
Developing Clear Word-Picture Descriptions 48
Indicating Ranges of Quality and Fidelity 50
Student Roles in IC Maps 51
Other Roles in IC Maps 51
More Complex and Richer IC Map Components 56
The Process of Developing an IC Map 58
INNOVATION CONFIGURATIONS: APPLICATIONS AND IMPLICATIONS Using IC Maps to Clarify the Change 60
Using IC Maps to Guide Construction of a Professional Learning Community 60
Using IC Maps to Plan Implementation Supports 61

	• •
CONTENTS	VII

Coaching with IC Maps 61	
Using IC Maps for Self-Reflection 61	
<b>Vignette:</b> Using An IC Map Component for Reflection and Peer Observation	62
USING IC MAPS IN RESEARCH, EVALUATION, AND IMPLEMENTATION ASSESSMENTS 63	
Testing Fidelity of Implementation Against Student Outcomes 63	
THE FIDELITY ENIGMA 64 Identifying Critical Components and Their Relationship to Student Outcomes	64
SUMMARY 64	
DISCUSSION QUESTIONS 65	
FIELDWORK ACTIVITIES 65	
CONDUCT A STUDY 66	
ADDITIONAL READINGS/RESOURCES 66	
nderstanding Feelings and Perceptions About Change: Stages of Concern	67
FOCUS QUESTIONS 68	
THE PERSONAL SIDE OF CHANGE 68 Different Types of Concerns 69	
Fuller's Unrelated, Self-, Task, and Impact Concerns 69	
Connecting Concerns to Teacher Education 70	
CONCERNS AND THE CHANGE PROCESS 70 Identifying the Stages of Concern 71	
WHY ARE THEY CALLED "STAGES" OF CONCERN? 74	
CAN THERE BE CONCERNS AT MORE THAN ONE STAGE? 75	
ARE THERE TYPICAL CONCERN PROFILES? 76	
TECHNIQUES FOR ASSESSING STAGES OF CONCERN 78  The One-Legged Interview 78	
The Open-Ended Statement 79	
The Stages of Concern Questionnaire 80	
Change Facilitator Stages of Concern Questionnaire 81	
Characteristic Stages of Concern Profiles 81	

81

The "Big W" Concerns Profile

# IMPLICATIONS OF RESISTANCE IN STAGES OF CONCERN PROFILES 84 Vignette: Districtwide Use of Stages of Concern 86

SUMMARY 89

DISCUSSION QUESTIONS 90

FIELDWORK ACTIVITIES 90

CONDUCT A STUDY 90

ADDITIONAL READINGS/RESOURCES 91

#### **CHAPTER FIVE**

# **Exploring the Use of Innovations: Levels of Use** 92

#### FOCUS QUESTIONS 93

### THE LEVELS OF USE CONCEPT 94

Nonusers 95

Level of Use 0 Nonuse 95

Level of Use I Orientation 95

Level of Use II Preparation 96

Users 96

Level of Use III Mechanical 96

Level of Use IVA Routine 97

Level of Use IVB Refinement 97

Level of Use V Integration 98

Level of Use VI Renewal

# ASSESSING AN INDIVIDUAL'S LEVEL OF USE 99

Using Decision Points to Distinguish Each LoU 99

98

99

The LoU Branching Interview

The LoU Focused Interview 100

Knowledge 102

Acquiring Information 102

Sharing 102

Assessing 103

Planning 103

Status Reporting 103

Performing 103

	104 .05
Motivation for Movement in	
	08
SIDELIGHTS ABOUT LOU 10 Vignette: Time Series Sna	<b>8</b> pshots of a Hypothetical User 109
SUMMARY 112	
DISCUSSION QUESTIONS 113	3
FIELDWORK ACTIVITIES 11	3
CONDUCT A STUDY 114	
ADDITIONAL READINGS/RESOU	URCES 114
PART III The Imperative for Lea	dership in Change 115
Describing Leaders and the Differer	ces They Make: Change Facilitator Style 117
FOCUS QUESTIONS 117	
THE HISTORY OF RESEARCH OF The Legacy of Research on 1	
Discovering in an Implementhe Difference 120	tation Study That School Leaders Were Making
Implementation Data	That Were a Mystery 120
What Would Explain t	he Differences? 121
Principal Leadership I	s the Key 121
THE CONCEPT OF CHANGE FAC Three Change Facilitator Sty	
Initiator Change Facili	tators 122
Manager Change Facil	itators 124
Responder Change Fac	cilitators 124
DISCUSSION AND IMPLICATION A Continuum of Change Fac	S OF CHANGE FACILITATOR STYLE 126 ilitator Styles 126
Metaphors for Change Facili	tator Styles 126
Additional Research and Sur	port for Change Facilitator Styles 127
Research Findings: Int Principal 127	ervention Behaviors of Each Change Facilitator Style

Research Findings: Relating Change Facilitator Style to Teacher Success in Implementing Innovations 128

Research Findings: Relationships of Principal Change Facilitator Style to Student Learning 129

# UNDERLYING DIMENSIONS AND MEASUREMENT OF CHANGE FACILITATOR STYLE 132

Six Dimensions of Change Facilitator Style 132

Concern for People 132

Organizational Efficiency 134

Strategic Sense 134

Measuring Change Facilitator Style with the CFSQ 135

Vignette: Principal Succession 137

# IDEAS, IMPLICATIONS, AND REFLECTIONS ABOUT CHANGE FACILITATORS 139

Change Facilitator Style as a Heuristic 139

Working with Different Change Facilitator Styles 139

Working with Initiators 139

Working with Responders 139

Working with Managers 140

SUMMARY 140

DISCUSSION QUESTIONS 140

FIELDWORK ACTIVITIES 141

CONDUCT A STUDY 141

#### CHAPTER SEVEN

Describing What Change Facilitators Do: Interventions 142

FOCUS QUESTIONS 143

INTERVENTION DEFINITION 143

INTERVENTION DELIVERY 146

# SIX FUNCTIONS OF INTERVENTIONS 147

Function I: Developing, Articulating, and Communicating a Shared Vision

of the Intended Change 148

Function II: Planning and Providing Resources 149

Function III: Investing in Professional Learning 150

Function IV: Checking on Progress 150

Function V: Providing Continuous Assistance 151

Function VI: Creating a Context Supportive of Change 151
ADDITIONAL KINDS OF INTERVENTIONS 153
Communicating Externally 153
Disseminating Information 154
Vignette: Implementing a New Car 155
SIZES OF INTERVENTIONS 156 Policies 156
Game Plan Components 157
Strategies 157
Tactics 158
Incidents 158
The Types and Details of Incident Interventions 159
Isolated Incident 159
Simple Incident 159
Chain Incident 159
Repeated Incident 159
Complex Incident 159
Combing All Interventions 159
THE ANATOMY OF INTERVENTIONS 160 Source 160
Target 161
Function 161
SUMMARY 161
DISCUSSION QUESTIONS 162
FIELDWORK ACTIVITIES 162
CONDUCT A STUDY 163
ADDITIONAL READINGS/RESOURCES 163
CHAPTER EIGHT
The Construction of Understanding: Intervention Mushrooms 164
FOCUS QUESTIONS 165
INTRODUCING MUSHROOMS: A UNIQUE FORM OF INTERVENTION 165 Two Ways of Knowing: Objectivist and Interpretivist 166
The Objectivist Perspective of Change 166
The Interpretivist Perspective of Change 167

SUMMARY 184

INTERVENTION MUSHROOMS ARE CONSTRUCTED 167
Recognizing the Theme of an Intervention Mushroom 168
Vignette: Growing a Nutritious Mushroom 169
THE LIFE CYCLE OF INTERVENTION MUSHROOMS 171 The Birth of a Mushroom 171
The Growth of a Mushroom 172
The Maturing of a Mushroom 172
KEYS TO THE CONSTRUCTION OF INTERVENTION MUSHROOMS Stages of Concern as a Source of Mushrooms 175
Personal Concerns: A Significant Source of Negative Mushrooms 175
Intervening on Insecurity Mushrooms 176
Impact Concerns: A Significant Source of Positive Mushrooms 176
Levels of Use as a Rubric for Developing Understanding of Mushrooms 177
Levels of Use from a Constructivist Perspective 177
LoU-Based Mushrooms 177
Change Facilitator Style and Mushrooms 178
Different Change Facilitator Styles Have Different Meanings 178
Initiator Change Facilitator Style: The Meaning Within a Question 179
Manager Change Facilitator Style: The Meaning Within a Question 179
Responder Change Facilitator Style: The Meaning Within a Question 179
DETECTING, ERADICATING, AND/OR FACILITATING THE GROWTH
OF MUSHROOMS 180 Keys to Detecting Mushrooms 180
Positive Mushroom Growth Can Be Encouraged 181
Intervening on Positive Mushrooms 181
Mushroom Detection by Change Facilitator Style 181
Initiator Change Facilitator Style Leaders Are Early Detectors 181
Responder Change Facilitator Style: Respond to Some of the Individual Actions 182
Manager Change Facilitator Style: Keep Things Evened Out 182
EVERGREEN MUSHROOMS 182 Sometimes Doing Nothing Is Best 184

DISCUSSION QUESTIONS 185 FIELDWORK ACTIVITIES 185 CONDUCT A STUDY 185 ADDITIONAL READINGS 186

#### PART IV Different Perspectives for Understanding the Big **Picture of Change** 187

#### **CHAPTER NINE**

Systems Thinking: Interconnections of Parts That Make a Whole 190

**FOCUS QUESTIONS** 191

FAMILIAR NAMES IN SYSTEMS THINKING 191

GOING DEEPER TO EXAMINE A SYSTEMS VIEW 193

COMPONENTS OF THE EDUCATIONAL SYSTEM 194

Components of Systems in Change

Characteristics of Systemic Policy 195

Elements of Systemic Reform 195

#### WORKING SYSTEMICALLY IN SCHOOLS 196

Components 197

Levels 197

Competencies 198

The Cube 198

Competencies from Other Writers 199

#### EFFECTS OF WORKING SYSTEMICALLY 200

Outcomes for Educators 200

Results for Students 200

#### FACILITATORS AND BARRIERS TO WORKING SYSTEMICALLY:

#### A CASE FROM ANOTHER COUNTRY

Facilitators of the Change 201

Barriers to the Change Process 203

#### LIMITATIONS OF WORKING SYSTEMICALLY 204

**Vignette:** The Hunter Hill School District 205

SUMMARY 208

DISCUSSION QUESTIONS 209
FIELDWORK ACTIVITIES 209
CONDUCT A STUDY 209
ADDITIONAL READINGS/RESOURCES 210
CHAPTER TEN
Diffusion: Communication and Change Agents 211
FOCUS QUESTIONS 212
COMMUNICATION WITHIN THE LINES AND NETWORKS? 213 Components of Interpersonal Communication 213
Understanding Communication Networks 214
Implications of Communication Networks for Facilitating Change 21:
COMMUNICATION OF INNOVATIONS: WHO IS DOING WHAT? 216 Communication Elements: Sources, Targets, and Media 216
Sources of Communication 217
Targets of Communication 217
Media in Communication 217
Purpose of Communication 218
Coding Communication Actions in General 218
Implications of Coding Communications for Facilitating Change 218
CHARACTERISTICS OF ADOPTERS 219 Five Adopter Categories 220
Innovators Are Excited About Trying Something New 220
Early Adopters Think Before Adopting 220
Early Majority Are Careful 220
Late Majority Are Cautious 220
Laggards Resist the New 220
THE FLOW OF INFORMATION ACROSS ADOPTER CATEGORIES Opinion Leaders 221
Communicating Across Adopter Categories 222
The Rate of Innovation Adoptions 222

222

Implications of Adopter Categories for Facilitating Change

223

224

The S Curve Explains It All

Critical Mass Signifies an Important Point

### OTHER DIFFUSION CONSTRUCTS: PERCEPTIONS OF THE INNOVATION AND CHARACTERISTICS OF CHANGE AGENTS

Perceived Attributes of the Innovation

Relative Advantage 225

Compatibility 225

Complexity 225

Trialability 226 226 Observability

Addressing Perceived Attributes of the Innovation 226

Vignette: Here We Go Again! 227

THE ROLE OF CHANGE AGENTS 228

**SUMMARY** 229

DISCUSSION QUESTIONS 229

FIELDWORK ACTIVITIES 230

CONDUCT A STUDY 230

ADDITIONAL READING 231

#### **CHAPTER ELEVEN**

Organization Development: Team Building, Action Research, and Process Consultants 232

**FOCUS QUESTIONS** 233

WHAT IS OD? 233

> OD Definitions Across the Decades 234

> > Training and Planning 234

Changing OD Definitions 234

**OD Intervention Tools and Techniques** 236

> 236 Survey Feedback

Exercises 236

**Building Consensus** 236

**Team Functioning** 237

OD Exercises Are Job Context Free 238

238 Finding and Sharing OD Exercises

TEAM/GROUP AND INDIVIDUAL PROCESS SKILLS 239

**Team Decision Making** 239

#### xvi CONTENTS

**Brainstorming** 239

239 **Developing Consensus** 

**Problem Solving** 

240 Force-Field Analysis

Meeting Skills 241

Individual Team Member Process Skills 241

#### USING OD TO CHANGE WHOLE ORGANIZATIONS 242

Assessing and Developing Climate/Culture 243

> Organizational Climate Defined 243

Climate Versus Culture

Interviewing to Assess Organization Culture 245

**Examples of Organization Culture** 245

Comparing Measurement of Climate and Culture 247

Strategic Planning 247

> Making Strategic Planning Real 247

Providing Indicators/Evidence Is Important 249

Action Research 249

**Vignette:** The Strategic Planning Retreat Day 250

#### OD PROCESS CONSULTANTS 251

252 OD Consultants at Work

> Planned Change Steps 252

**OD Consultant Issues** 253

SUMMARY 255

DISCUSSION QUESTIONS 255

FIELDWORK ACTIVITIES 255

CONDUCT A STUDY 256

ADDITIONAL READINGS 256

#### PART V 258 **Combining Views and Tools**

#### CHAPTER TWELVE

Implementing Change: Assessing and Facilitating the Process from Individuals to Whole Systems 260

**FOCUS QUESTIONS** 261

UNITS OF CHANGE RANGE FROM THE VERY LARGE TO THE VERY SMALL 262

Teams or Divisions as the Unit of Change 264
The Individual as the Unit of Change 264
THE CHANGE PERSPECTIVE OF THE CONCERNS-BASED ADOPTION MODEL 265
CBAM Addresses the Individual 265
CBAM Addresses Teams and Groups 266
SoC Whole Group Profiles: Laptop Computers for Teachers 266
SoC Subgroup Profiles 266
The Implementation Bridge: Using LoU and IC to Assess Change Progress 267
A School District Superintendent Wants to Know 268
Assessing Implementation 268
Action Research Can Happen 268
Two Snapshots Are Better Than One 268
LoU Is One Indicator 269
Another Indicator: Innovation Configurations (IC) 269
Fidelity of Implementation 270
Fidelity of Implementation of a Mathematics Innovation 270
The Bottom-Line Question: What Is the Relationship Between Extent of Implementation and Outcomes? 271
Which Research Design Is Best? 272
Problems With Treatment-Control Group Designs 272
Comparing Degrees of Implementation 272
LEADERSHIP IS A VERY IMPORTANT FACTOR 273  Relationships Between CF Style and Student Outcomes 273
Principal CF Style and Student Test Scores 273
A Summary Systemic Framework 273
Principal CF Style and School Organization Culture 274
CF Style, Organization Culture, and Leader Succession 276
FINAL REFLECTIONS ABOUT IMPLEMENTING CHANGE Ethical Issues in Facilitating Change 276
Understanding the Constructs 276
Responsible Use 276
Support at All Levels of the Organization 277
What About the Ethics of Change Agentry? 277
Ethical Behavior from a Concerns-Based Perspective 277
Wrong Interventions 278
Deliberate Manipulation 278
Continue Asking the Ethics Question 278

264

An Organization as the Unit of Change

SUMMARY 278

THE CAVEAT 279

A FINAL PHRASE 279

**DISCUSSION QUESTIONS** 279

FIELDWORK ACTIVITIES 280

CONDUCT A STUDY 280

ADDITIONAL READINGS 280

Appendix A Stages of Concern Questionnaire (SoCO) 281

Appendix B Stages of Concern (SoC) Scoring Device 285

Appendix C Levels of Use of the Innovation (Operational Definitions) 287

Appendix D Six Dimensions of Change Facilitator Style 290

Appendix E Change Facilitator Style Questionnaire (CFSO) 293

Appendix F Change Facilitator Style Scoring Device 296

Appendix G Example Interventions for Each Stage of Concern 298

References 303

Index 311