

# PREFACE

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Welcome to the fourth edition of *Implementing Change: Patterns, Principles, and Potholes*. That we have had the opportunity to prepare four editions of this book has come as quite a surprise. Through communication with colleagues and readers of the earlier editions, it is clear that many have found the book to be a useful source of ideas for understanding, facilitating, and studying change processes. We have learned from writing each edition, and most certainly have new ideas, stories, and study findings to report.

With so much change happening all around us, it makes sense that a book on change would need change, too. In writing this new edition, a challenge for us as authors has been to make important changes and updates while preserving the foundational content that was so useful in the first three editions. We think we have accomplished both objectives.

## NEW TO THIS EDITION

Important changes to this edition include the following.

- As before, the major construct that is the topic of each chapter is *evidence based*. For this edition, up-to-date citations from research have been inserted with each construct, tool, and application.
- The findings from important recent research studies are reported, such as the first studies linking the Change Facilitator Style of school principals with student test scores.
- An entirely new feature is the story of East Lake School District. Instead of each chapter having independent vignettes and anecdotes, the same district and school context with the corresponding staff are used within each chapter. With this approach, it is possible to illustrate how the different constructs and tools can be used simultaneously.
- There is an increased focus on implementing change in schools and school districts. This does not mean that the constructs and tools do not apply in business and other settings. Narrowing the context is intended to keep examples and illustrations simple.
- A set of *Learning Outcomes* are stated at the beginning of each chapter to help the reader focus on the key ideas.
- The flow across the chapters is organized to move from the individual implementer, to teams/groups, to whole organizations (schools/districts), and then to large systems (e.g., states).
- The last chapter comprises over fifty percent new material with a much heavier focus on implementation assessment, program evaluation, and research, as well as exploration of construct interrelationships.

- Also new to the last chapter is an examination of the increasingly important topic, or should we say dilemma, of sustaining change.
- New chapter features include “Applying *the chapter’s construct* in Facilitating Implementation” and “Applying *the chapter’s construct* in Research and Program Evaluation Studies.”
- In this edition, the Concerns Based Adoption Model (CBAM) is used as the overarching framework, with the first eleven chapters examining a particular construct or perspective in depth. The last chapter then applies various combinations of the constructs and perspectives.
- Several increasingly important topics have been added, including *capacity* in Chapter 9, *sustainability* in Chapter 12, and interpreting whole group data in Chapters 4 and 12.

## WHY IMPLEMENTING CHANGE CONTINUES TO BE SO IMPORTANT

Change is one of the few constants in our world. There is no escaping the fact that we are living in a time of change. An obvious indicator of continuing change is most certainly the types and uses of technology in our work and in applications such as social media. There are many societal changes too, such as the Arab Spring and the consequences of the many decisions by governments and the courts. There also are continuing changes in our workplaces and our personal lives. Instead of being hapless captives of change, we believe that it is important to understand how change processes work, how to facilitate change, and how to study change. It is not enough to become expert in a particular change; we also need to understand how the change process works.

One clear conclusion that we have offered in the past still holds. Those who initiate change and those who study it should be able to predict much more about what happens during this process than is typically the case. We also should be much better at attending to the needs of the people involved and preventing much that often goes wrong. Hopefully, our attempt to pass on some of what we have learned will be of help to you and the others with whom you are engaged during change.

## THE TITLE

The title of this book—*Implementing Change: Patterns, Principles, and Potholes*—is fittingly representative of its content. One of the problems in the field of change is that there is no agreement on the meaning of commonly used terms. For example, the word *change* can be a noun (e.g., the change that is being attempted) or a verb (e.g., changing the culture). The word also can be used to represent the whole of a change effort (e.g., “We have a big change underway!”). Having the term *implementing* as the first word in the title adds an important emphasis. Most changes require some time and effort to make them operational—in other words, to implement them. As you will read throughout this book, we see that successful change begins and ends with understanding the importance of implementation constructs and dynamics.

The terms *patterns*, *principles*, and *potholes* have been carefully chosen as well. There are patterns in change processes, and most of this book is about describing and naming those patterns. In the study of change, as in the so-called hard sciences, there is widespread agreement on a number of points, or principles. We certainly do not know all that we should; however, some elements of change are understood and agreed on by many of us. All of us know full well that “potholes” may be encountered throughout a change process. Although the inclination is too often to give too much attention to these problems, it is also foolish to ignore them.

## **PART I: THE CONTEXT FOR IMPLEMENTING CHANGE**

The first chapter in each edition has presented a set of *change principles*. In each edition, we have changed some of the principles. Not because they are no longer relevant, but because we have others we want to point out. Each of these principles should be accepted as givens. There is no debate about their validity.

Once you read each you will likely say, “Well, of course. I knew that.” However, you also can think of change initiatives in which that change principle was ignored. Just because we know something doesn’t mean that we always act accordingly. Incorporating these change principles alone should lead to fewer surprises and more success in your change efforts.

In Chapter 2, we describe another basic change concept, *interventions*. As with other terms, the definition of interventions varies across disciplines. For example, in public health the term is a generic reference to the program that is being adopted. In the Diffusion Perspective, the definition seems to vary between representing the change and supporting actions such as Technical Assistance. In the CBAM perspective, the definition is set: “Actions and events that affect a change process.” The change itself is called an *innovation*.

## **PART II: THE PEOPLE PART OF CHANGE: THREE DIAGNOSTIC DIMENSIONS: CONCERNS, USING, AND FIDELITY**

An organization or a large system is not changed until the individual members of that unit use the new way. Therefore an important unit of change has to be each implementer. Part II introduces the three *Diagnostic Dimensions* of CBAM (pronounced “see-bam”). Each is an evidence-based construct with related tools that can be used to facilitate, evaluate, and research implementation initiatives.

Chapter 3 introduces ways to think about and appraise the change itself. There can be dramatic differences between what the developer of an innovation has in mind and what is actually implemented. These differences are called *Innovation Configurations*. A second CBAM Diagnostic Dimension addresses the personal side of change. Even when change takes place in organizational settings, personal feelings, moments of joy, and frustrations are part of it. Understanding these *concerns* is addressed in Chapter 4. Chapter 5 is about use and nonuse of innovations. This is not a dichotomous phenomenon. Instead there are different *Levels of Use* as implementers progress from nonuse, to novice user, and on to expert. Change Facilitators and program evaluators should pay close to attention to these different ways of “using” an innovation.

### **PART III: LEADING CHANGE ACROSS THE ORGANIZATION**

The chapters and constructs in this part address factors related to implementing change at the organization level. One of the areas in which our research has continued to advance is understanding and documenting the significant difference that change leaders can make. In Chapter 6, three Change Facilitator (CF) Styles are described. A number of studies have documented the differences in innovation implementation success that are related to how leaders lead. We now have several studies documenting relationships between CF Style and student test scores. In Chapter 7, the importance of understanding organization culture, especially the construction of *Professional Learning Communities (PLCs)*, is examined.

A critical implicit assumption that many make is that managing change processes is controllable by the leaders. However, in reality even the change leaders do not control all parts of the process. We call one key component of the uncontrollable *Intervention Mushrooms*, which is the topic of Chapter 8. Just as the name suggests, this species of intervention grows in the dark and is not controlled by the change leaders. Some are skilled at detecting and addressing Mushrooms, whereas others fail to see them at all. Although we think that this chapter will be of particular interest, an important caution is necessary. The chapter on Mushrooms comes after seven other chapters, each of which presents a construct that needs to be understood *before* it is possible to explore the dynamics of Mushrooms and what can be done about them.

### **PART IV: DIFFERENT PERSPECTIVES FOR UNDERSTANDING THE BIG PICTURE OF CHANGE: SYSTEMS, DIFFUSION, AND ORGANIZATION DEVELOPMENT**

The chapters in Part IV introduce three other perspectives for understanding change that are classics. Each has an extensive history of research, model building, and applications. Each also offers a number of tools that can be used to facilitate, study, and evaluate change efforts. In Chapter 9, *systems and systemic thinking* are the topic. New to this chapter is our proposal to consider capacity and capacity building as important system factors. Chapter 10 introduces another of the classics: *Diffusion*. This perspective had its beginning early in the twentieth century with studies of the varying rates and willingness of farmers and others to adopt innovative practices. It very quickly became obvious that not everyone adopts an innovation at the same time. In Chapter 11, another perspective is introduced: *Organization Development (OD)*. This approach focuses on group dynamics and the process skills that can help teams and whole organizations be more effective. Organization Development offers a number of techniques and ways to facilitate change that can be useful.

### **PART V: COMBINING VIEWS: PERSPECTIVES, CONSTRUCTS, TOOLS, APPLICATIONS, AND IMPLICATIONS**

Chapters 1 through 11 build from the individual, to the group, to whole organization and system views. In the last chapter, Chapter 12, we review and extend applications of the constructs that were introduced in the previous chapters. Data sets and findings from several studies are used to illustrate how combinations of change process constructs and measures can be applied. There are conceptual explorations of the relationships among the CBAM Diagnostic Dimensions. The importance of conducting what we call *implementation* assessments is introduced.

Another topic is using recent research findings to understand more about the differences leaders make. Also discussed is the importance of sustaining change. The final topic addresses the importance of ethics in change agency.

## CHAPTER ORGANIZATION

The main topic of each chapter is presented as a key change construct or perspective that is *evidence based*. The construct is introduced along with the supporting research. The measurement tool(s) is described along with summaries of key study findings. Each chapter also has a number of purpose-built features that are intended to help you draw connections between what you know now and what we would like you to understand when you have finished reading each chapter.

To help ground the basic pattern being presented, every chapter begins with several quotes, which will probably be familiar to you. The ideas presented in the chapter illustrate how these quotes can be analyzed in terms of their meaning for change process success. To help you focus on some of the key topics in each chapter, a set of Learning Outcomes is offered near the beginning. Each chapter, except Chapter 12, also contains a story about how that chapter's key ideas could come alive in the East Lake School District.

To aid in remembering key points, with the exceptions of Chapters 1 and 12 each chapter has a box of "Indicators" of the chapter's construct, as well as a table of "Implications for Change Facilitators." This feature lists several succinct suggestions for ways to use the ideas introduced in each chapter. At the end of each chapter are a number of Discussion Questions and two suggestions for "Applications." One set of suggestions is about change facilitating activities that you could try. The other set of suggestions is for research and evaluation activities.

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So here it is, the new *Implementing Change* book! We hope that it will help you improve your understanding of the change process. We hope it provides useful ideas and approaches for facilitating change. We also hope we have provided strong examples of how each of the constructs can be used in assessing implementation and in conducting program evaluation and research studies. If you are interested in assessing implementation and research, plenty of ideas are scattered throughout that need to be systematically examined. Let us know what you are thinking of studying and what you learn.

We gratefully acknowledge the encouragement and support of our editor Meredith Fossel and many colleagues at Pearson. It has been a pleasure and honor to work with them over the years and now for this, the fourth edition. One of the other changes with this edition was our having an Editorial Product Manager, Emerson (John) Probst. He has been a terrific help as we have strived to merge files, battle hidden word processing commands, and prepare the best manuscript possible.

We also wish to thank the following reviewers: Kris Bosworth, University of Arizona; John Hamilton, Texas A&M University—Texarkana; and Richard A. King, University of South Florida—Manatee. We have considered and attempted to incorporate nearly all of their suggestions.

G. E. H.

S. M. H.

# WHAT KEY PATTERNS, PRINCIPLES, AND LESSONS HAVE WE LEARNED ABOUT IMPLEMENTING CHANGE?

*We know from past experience that it takes time to institutionalize new practices.*

—Michael Major, Principal, Mountain View High School

*Learning means you are adjusting to change.*

—Art Linkletter on the *Larry King Show*, July 20, 2002

*Change means you are adjusting your learning.*

—Stephanie Struthers, Director of Professional Learning, East Lake School District

*After all this research on classrooms, the inescapable conclusion is that school-based leadership makes a big difference.*

—Dr. Leslie Hanson, Assistant Superintendent, East Lake School District

*When everything comes together right, change is an energizing and very satisfying experience.*

—Inez Hernandez, Principal, Island Park Elementary School

*Here we go again. You know how change is. It is like a pendulum, swinging back and forth.*

—Sara Johnson, Teacher, Mountain View High School Mathematics Department

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### WHY A BOOK ON “IMPLEMENTING CHANGE”?

If you are a teacher, an assistant principal, an inner-city district superintendent, a state-level director of traffic or highways, a campus-based school principal, a college dean, or the father in a family—regardless of your role, chances are you have had experiences in suggesting or introducing changes of some sort in your organization. How many times have you been successful in accomplishing those changes, most especially if the changes were not readily agreeable to some of your constituents?

Perhaps you are the human resources manager of a large company. How do you manage the training and development of employees so that they productively take on new and improved behaviors that contribute to the company’s bottom line while maintaining employee

satisfaction on the job? Perhaps you are responsible for research and evaluation for your school district or a large corporation, or installation of a new approach in the military or government. Your responsibility is to ascertain the effectiveness of new classroom and production floor practices. Each of these new activities requires change. In addition, each must first be in place (implemented) before its effectiveness can be assessed.

For decades—no, millennia (think Machiavelli, *The Prince*, originally published in Italian in 1532, currently available translated, 2005)—leaders have been delivering suggestions, invitations, mandates, and legislation in hopes of changing behaviors, attitudes, knowledge, and understanding. These leaders also have a need to know if their improvement strategies are working. Such actions of introducing, accomplishing or implementing, and assessing change have occurred erratically in the corporate sector, in schools, in medical practice, and in almost every other area of human endeavor. A large part of the required implementation activities have gone unheeded or have resulted in superficial, modest, or poor installation. Too many end with the participants observing, “See, I told you so: This too would pass.”

One of the districts we studied addressed this situation head on as they engaged in a major change. When administrators recognized the mixed feelings of the staff, they immediately planned for, announced, and delivered assistance and support for implementing the current change. They also designed and put into place a monitoring system that provided bimonthly feedback on the status of implementation. These actions sent strong signals to the staff that the new program was here to stay and that the administration would back it over time.

In an era of abundant research findings and examples of tested and improved practices that can lead to better products and processes, there is a surprising and woeful lack of finding these new ideas, products, and processes in use in our homes, schools, and workplaces. Advertising and marketing activities extol the virtues of everything from the latest fad diet to how to teach phonics. Many of these products and processes are discarded after a brief period of experimentation and no immediate or visible success. What is the problem here?

For the past 40 years, the authors of this text have been leaders of an international team of researchers studying the change process in schools, colleges, businesses, and government agencies. We have been systematically charting what happens to people and organizations when they are involved in change. We have learned a lot about the challenges, the problems, and what it takes to be successful. Our research approach is different from that of others in a number of ways, including our primary focus on the people at the front lines who have to implement the expected change. Our secondary focus has been on how leaders can facilitate change.

In our 76 combined years of research and practice efforts to discover, support, and assist schools and other organizations in their efforts to improve, we have observed and shared the successes of those schools and businesses that have managed and guided change efforts from their abstract promise to their successful reality. We have observed also, despite our most urgent and encouraging support and assistance, organizations adopting new programs and processes year after year, quickly rejecting each as they failed to deliver on their promise. Our keen observations, rigorous studies, and multiple experiences have led us to articulate some basic principles about the process of change.

The original team for these research efforts came together in the late 1960s at the University of Texas at Austin. From 1970 to 1986, this group studied the change process in schools and universities as part of the agenda of the Research and Development Center for Teacher Education. Along the way, researchers from the United States, Belgium,

the Netherlands, Australia, Canada, Taiwan, Hong Kong, and several other countries joined in verifying the concepts and extending the research agenda. Now in place is an international network of change-process researchers who have conducted studies related to the concepts and principles presented here. We initiate the discussion of change and implementation in this book by a brief explication and review of these time-tested principles.



### REFLECTION QUESTIONS

**As you think about your experiences, what have you learned about change?  
What is one principle of change that you would identify?**

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### LEARNING OUTCOMES

After reading this chapter, the learner should be able to:

1. Describe how change and learning are related.
2. Specify the role required of leaders in the process of change.
3. Explain the significance of interventions to the success of change efforts.
4. Suggest how top-down mandates can work.

### PRINCIPLES OF CHANGE

One important result of our long-term collaborative research agenda is that we now can draw some conclusions about what happens when people and organizations are engaged in change. A number of patterns have been observed repeatedly, and some have developed into major themes, or basic *principles*, and we do mean *principles*. As in the so-called hard sciences, enough is now known about some aspects of the change process that we can state a series of principles that are true for all cases.

The Change Principles presented in this chapter are the “givens” underlying all that will be presented in subsequent chapters. From our point of view, these principles are no longer debatable points, for they summarize predictable aspects of change.

Before introducing selected principles about change, a caveat is needed: Each principle is not mutually exclusive, and at first reading some may seem inconsistent with others. These principles do not cover all aspects of change. (Otherwise we would not need the other chapters in this book.) Instead, they address selected aspects of the change process in which the patterns are clear. Acknowledging that these principles are foundational to our way of thinking about change will save you time in trying to discover our implicit assumptions. In addition, understanding them should help you in predicting key aspects of change efforts with which you are engaged.

We need to emphasize that at all levels—individual, organizational, and system—change is highly complex, multivariate, and dynamic. If it weren’t so complicated, it would not be nearly as much fun to study, facilitate, and experience. So let’s begin our journey of bringing order to change by introducing a set of principles about change that each of us has understood implicitly but probably not verbalized. Interestingly, we predict that you will be able to describe personal change experiences in which each of these principles has been ignored or violated. Certainly, your future change efforts can be more successful if these principles are acknowledged.

## Change Principle 1: Change Is Learning—It’s as Simple and Complicated as That

To *improve* the speed of transportation from one place to another, one might decide to make a *change* and use a bicycle; to become a skillful bicycle rider requires *learning* about the pedals, handlebars, balance, the rules of the road, and laws governing the conduct of persons using public highways and neighborhood paths and sidewalks. This is an example easy to understand and to visualize. It is also easy to understand that having a caring father or 11-year-old brother to guide the learning, to provide feedback about how to sit astride the vehicle, and how to rotate the pedals so that the wheels turn efficiently can add measurably to the quality and reduce significantly the time required for the learning.

In the marketplace, matters are not quite so simple. For example, a shoe store manager, noting that the quality of her merchandise and the appeal of the salesroom equaled those of her nearest competitor who was besting her in shoe sales, wondered if her sales staff lacked in their approach to customers. She engaged a colleague to check this and discovered that the competing store’s staff expressed a warmer attitude toward customers and expressed and conveyed more knowledge about the merchandise. It was obvious to this manager that something must be done to *improve* staff/customer relations.

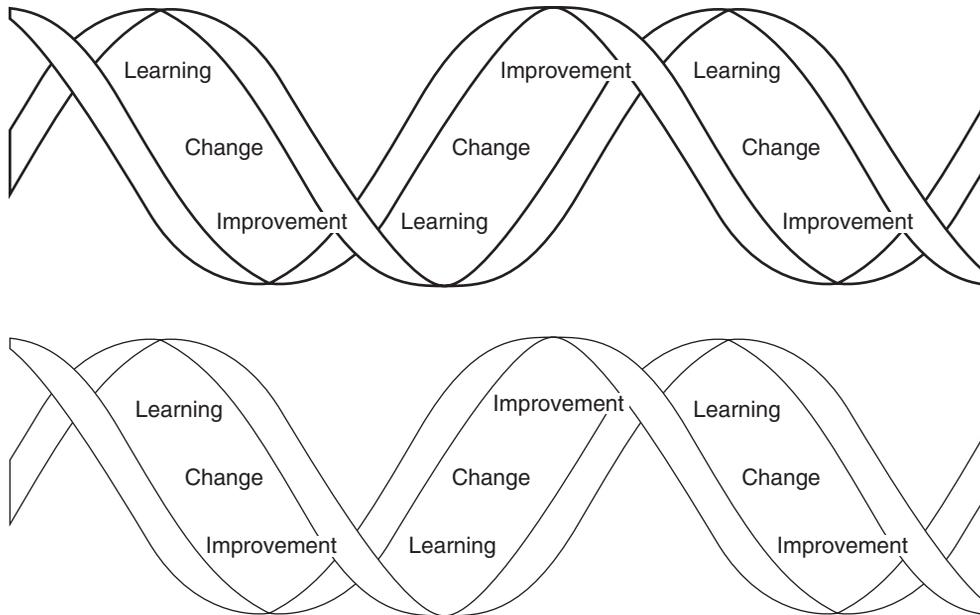
Her first attempt to *change* her staff’s knowledge and skills was to bring them together for coffee before the store opened and share a report from the Business League about research results that identified how sales personnel should act to make successful sales. The staff appreciated the fine coffee and rolls but expressed a lack of knowing what to do to behave as the research findings indicated. “Well,” the manager contemplated, “I guess they will need to *learn* how to act in these new ways.”

In three successive meetings, the staff met to study new behaviors, to see them demonstrated, to practice them on each other, and to receive feedback from the business consultant who was instructing them. Everyone was delighted when shoe sales increased, as did the commissions of the staff.

To make things better (improved) in the family setting, in the marketplace, and in the classroom, *change* is introduced, and *learning* makes it possible to make the change (see Figure 1.1). Each change initiative represents a new opportunity to learn. Each change initiative has its own cycle. Over time we experience a series of change cycles: change-improvement-learning + change-improvement-learning + . . . Even when there is little improvement there still is learning from the experience. Another important feature in Figure 1.1 is that two spirals are displayed. This is symbolic of an on-the-ground reality that is often ignored. In most settings most of the time there is more than one change process unfolding at the same time. This means more opportunities for learning. It also represents the potential of there being more confusion, less change success and less learning.

In the two examples provided, the changes and their learning needs are fairly easy to understand and to accomplish. But let’s visit a mathematics classroom embarking on a school improvement effort—one expected to enable students to increase their abilities in critical thinking, in problem solving, and in teamwork. Before these new outcomes (changes) can be realized in the students, the instructional staff must change their teaching. Changing to a new way of teaching mathematics is not an easy effort.

One of the authors still vividly recalls a long-ago classroom teaching experience. The district mathematics curriculum coordinator introduced and expected that all teachers would



**FIGURE 1.1** Learning: The Basis for Improvement

Source: Created by James L. Roussin & Mark Roussin, Stillwater, MN

implement and use a new inquiry-oriented math curriculum that provided students with a large degree of self-guided instruction. To support the teachers in this new approach to teaching math, teacher’s guides for the curriculum were distributed, and teachers were directed to access staff development to learn about how to teach the new program by sitting alone in front of their residential televisions with the teacher’s guide in their hands—not a very powerful learning strategy.

Subsequently, this teacher’s mathematics guide became permanently affixed to her left arm. Following this “teacher-proof” set of teaching directions worked well when the students responded with understanding and the correct answers. However, when students didn’t understand or respond correctly, the teacher did not know what to do for she had little depth of understanding of the process for this kind of instruction. Fortunately for all in this classroom, one of the intellectually gifted sixth-grade students understood the situation and the curriculum and taught the teacher! *Learning* enabled the teacher to *change* her practices and to use the *improved* and more effective program with students. (As a side note, in this same vignette, many teachers did not have access to the learning that enabled them to use the program. After trials and frustration with the program, they reverted to their old practices—a common result in such scenarios.)

Professional learning is a critical component embedded in the change process. Research focused on change process and on professional development reveals parallel findings, both of which identify the imperative of learning in order to use improved programs, processes, and practices.

### **Change Principle 2: Change Is a Process, Not an Event**

The very first assumption in our studies of change in the early 1970s was that change is a process, not an event (Hall, Wallace, & Dossett, 1973). In other words, change is not

accomplished by having a one-time announcement by an executive leader, a two-day training workshop for teachers in August, the delivery of the new curriculum/technology to the office, or a combination of these actions. Instead, change is a process through which people and organizations move as they gradually learn, come to understand, and become skilled and competent in the use of new ways.

Our research and that of others documents that most changes in education take three to five years to be implemented at a high level (for example, see George, Hall, & Uchiyama, 2000; Hall & Loucks, 1977; Hall & Rutherford, 1976). Further, for each new unit (e.g., school, business, or state) that undertakes the change, the process will take three to five years. For each new adopting unit, the clock begins at the beginning. There are very few shortcuts. However, the use of the constructs and tools presented in this book will significantly reduce the time needed to achieve a higher level of implementation. Failure to address key aspects of the change process can either add years to, or even prevent, the achievement of successful implementation.

Unfortunately, too many policy makers at all levels refuse to accept the principle that change is a process, not an event, and continue to insist that *their* changes be implemented before their next election, which typically is within two years. This “event mentality” has serious consequences for participants in the change process. For example, the press to make change quickly means that there is neither time to learn about and come to understand the new way nor time to grieve the loss of the old way.

Have you ever realized that grief is a key part of change? Chances are that when people must change, they have to stop doing some things that they know how to do well and in fact like doing, which creates a sense of sadness. What many leaders see as resistance to change may in large part be grief over the loss of favorite and comfortable ways of acting (Bridges, 2009). We recall following a new science program implementation, in which the second-grade teachers literally wept over losing their egg-hatching unit. This personal side of change will be examined in depth in Chapter 4.

Although many other implications of this principle will be developed in subsequent chapters, one that is important to note here has to do with planning for change. The strategic plan for change will look very different depending on whether it is assumed that change is a process or an event. If the assumption is that change is a process, then the plan for change will be strategic in nature. It will allow at least three to five years for full implementation and will budget the resources needed to support formal learning and on-site coaching for the duration of this phase. There will be policies that address the need for multiyear implementation support, and each year data will be collected about the change process. Such data will serve to inform the leaders in supporting planning for and facilitating implementation in subsequent years.

If the assumption is that change is an event, the plan for implementation will be tactical in nature. It will have a short-term focus typically centering on one formal training session for teachers before school begins, no on-site coaching or follow-up, and perhaps a first-year summative evaluation to see if the new approach is making a significant difference. As will be described in later chapters, one typical consequence of not finding any significant differences in the first or second year of implementation is the mistaken conclusion that the new approach does not work, when in fact there was not enough time and support for implementation so that it might work.

Examples of an event mentality also can be seen in the formal steps taken in the typical school improvement process: developing the plan utilizes several steps, and implementation requires just one. If school improvement were being thought of as a process, instead of an event, it would be called school “improving,” and there would be several sets of actions across the implementation phase. The event mentality was well expressed by one assistant

superintendent who exclaimed in the spring of the first year of implementation, “What do you mean, that teachers need more training? We bought them the books. Can’t they read?”

### **Change Principle 3: The School Is the Primary Organizational Unit for Change**

Although we have emphasized and will continue to emphasize the importance of understanding the dynamics of individuals in change, the key organizational unit for making change successful is the school. The school’s staff and its leaders will make or break any change effort, regardless of whether the change is initiated from the inside or outside. However, the school is not an island; rather, it is part of district, state, and/or federal systems of education. The school can and must do a lot for itself, but it also must move in concert with and be supported by the other components of the system.

Note the assertion that schools need outside support. Change is a complex, dynamic, and resource-consuming endeavor. No single organization, be it a school or a national corporation, is likely to have all the expertise and resources needed to succeed in change. As will be emphasized in later chapters, *external* change facilitators, as well as supports from other parts of the system, are necessary. This is why, too frequently, the concept of site-based management does a disservice to organizations such as schools. Change processes are easier and chances of sustained success are increased as the school staff understands more about how to use external resources. Change becomes easier as those external to the school recognize the importance of their roles in facilitating change success in each school.

Everyone—teachers and principals in the school and personnel in the district office—must consider and understand how a school learns and advances as a change process unfolds. Many of the same interventions, such as providing teachers (and principals) with professional learning about their role with the innovation, can in fact be made throughout a district, especially during the first year of implementation. However, by the second year and beyond, different schools will be moving at different rates and will have different change successes and challenges. Thus, at least some of the key interventions will need to be uniquely targeted for each school.

### **Change Principle 4: Organizations Adopt Change—Individuals Implement Change**

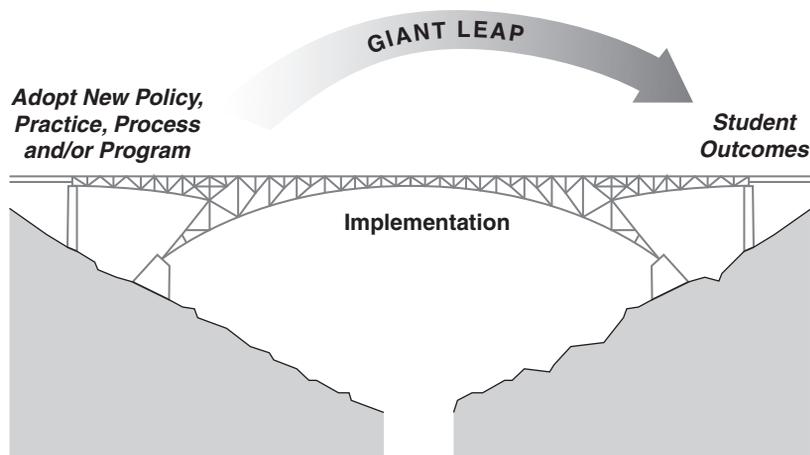
Although everyone wants to talk about such broad concepts as reform, policy, systems, and accountability, successful change starts and ends at the individual level. An entire organization does not change until each member has changed. Another way to say this is that there is an individual aspect to organizational change. Even when the change is introduced to every member of the organization at the same time, the rate of learning to make the change and of developing skill and competence in using it will vary individually. Some people will grasp the new way immediately, although most will need some additional time, and a few will avoid making the change for a very long time. Rogers (2003) has called this third group “laggards.” Even when the change is mandated, some individuals will delay implementation. One implication of this principle is that leaders of organizational change processes need to devise ways to anticipate and facilitate change at the individual level.

This principle does not mean that all of the interventions (e.g., on-site coaching or a telephone hotline to address specific questions) in a change process must be addressed at the individual level. Nor does it mean that every individual will be at a different point in the

process. People respond to and implement change in typical patterns that will be described in the following chapters. Change process leaders can and should anticipate many of these patterns. Many interventions should be targeted toward subgroups (e.g., principals being given an advance overview about what the change entails), and many others should be aimed at the organization as a whole. Still, since there is an individual element to how the change process unfolds, many of the interventions must be done with and for individuals, for there can be no change in outcomes until each individual implements the new practice.

Organizations are under heavy pressure to increase performance. In business, the press is to increase productivity, quality, and sales. In schools, the bottom line is the expectation to have ever-increasing student scores on standardized tests. To improve performance, many policy makers and executives are placing heavy emphasis on evaluating the end results. For schools, this is seen in the widespread focus on high-stakes testing. Annual testing of students has been mandated along with negative consequences for schools that do not show adequate increases in test scores. An implicit assumption with this approach to change seems to be that schools will incorporate the necessary changes to make test scores go up. However, little support is being made available to schools to implement these changes.

Figure 1.2 illustrates this problem. Imagine a setting where there is a very large and deep chasm with schools engaged in current practice located on the left cliff. On the right side of the chasm are the increases in student outcomes that are desired. Strategies that focus only on the right side fail to acknowledge several realities associated with implementing change. First, if there are no changes in practice, there is little reason to expect a change in outcomes. As principals often observe, “If you always do what you have always done, you will continue to get what you always have gotten.” The second failure is in relation to Change Principle 2: Change is a process, not an event. If it takes three to five years to implement new practices to a high level, then it is highly unlikely that positive increases in outcomes will occur during the first or second year of implementation. In the scene shown in Figure 1.2, with an event mentality, practitioners are being asked to make a *Giant Leap*. They are being directed to improve outcomes without any support for learning how to change their current practices and thus improve.



**FIGURE 1.2** Implementation Bridge Without an Implementation Bridge, individuals and organizations must make a giant leap

In order for change to be successful, an *Implementation Bridge* is necessary. Each member of the organization has to move across the Implementation Bridge. As they learn to change their practices, there can be changes in outcomes. Without an Implementation Bridge, there is little reason to expect positive change in outcomes. Instead, there are likely to be casualties as attempts to make the giant leap fail. Individuals and whole organizations may fall into the chasm.

Each chapter in this book will present research-based constructs and tools that can be used to facilitate individuals and organizations in moving across the bridge. The constructs and tools also can be used to measure the extent to which they have moved across the bridge. These implementation assessment data can then be correlated with outcome measures. Ideally, outcomes should be higher for those individuals and organizations that have moved further across the bridge. This was the case in one large study of implementation of standards-based teaching of mathematics (George, Hall, & Uchiyama, 2000). Students in classrooms with teachers who had moved further along with implementation had higher test scores.



### REFLECTION QUESTIONS

**Why would you wish for your children (or grandchildren) to be assigned to a teacher who is a continuous learner, one who is consistently updating his/her knowledge base? In what ways might the school support this learning?**

### Change Principle 5: Interventions Are Key to the Success of the Change Process

As individuals plan and lead change processes, they tend to be preoccupied with the innovation and its use. They often do not think about the various actions and events that they and others could take to influence the process; these actions are known as *interventions*. Training workshops are perhaps the most obvious type of intervention. Although workshops are important, the research studies cited in this book document many other kinds of interventions that are significant also—some that are even more crucial to achieving change success!

#### *Pothole Warning*

*The term training workshops is used with great frequency. If we train horses and dogs, what do we really mean by a training workshop for educators?*



#### *Pothole Repair*

*It seems to us that the term **training** is not very appropriate for its application to the human species. The knowledge and skills that are required for some designated task must be “developed” in each individual. And what about the term workshops? Here, it appears that we are really using this term to refer to large group learning sessions. In the case of either term, what is needed is an understanding that these activities are interventions that support individuals in gaining the requisite capacities for behaving in new ways. Without these interventions, whatever they are labeled, the change is doomed unless attention is given to them.*

Interventions come in different sizes. Interestingly, the most important interventions are the little ones, which most leaders forget to do or forget about having done. When change is successful, it is the quantity of the little things that makes the final difference. One of the major types of small interventions is what we call the *One-Legged Interview*. One frequent

opportunity for One-Legged Interviews to occur is when a teacher and a principal meet in the corridor as each is headed to a different classroom. If they do not interact or if they have a social chat, these encounters are lost opportunities for innovation-related interventions. However, if the principal or teacher initiates a brief discussion about the innovation—“How’s it going with \_\_\_\_\_?”—then a One-Legged Interview type of intervention is taking place.

We use the term *one-legged* to indicate that these interventions are brief since both the teacher and the principal probably have to be somewhere else when the next bell rings. Yet a moment was taken to talk about the teacher’s involvement with the innovation. The research reported in later chapters consistently indicates that teachers are more successful with change in schools where there are statistically significantly more One-Legged Interviews.

We will share more about One-Legged Interviews in Chapter 2 on interventions. Here, the point is that it is critical to distinguish between the concepts of *innovations* and *interventions*. Change leaders tend to think only about innovations (the change itself), and not to think sufficiently about interventions (the actions taken to facilitate implementation) in terms of an overall plan for and during the unfolding of the change effort; and many fail to appreciate the value of small interventions.

### **Change Principle 6: Appropriate Interventions Reduce Resistance to Change**

One of the big questions about change has to do with dealing with resistance. In most change efforts some people will *appear* to be resisting and some may be actively sabotaging the effort (note “appear to be” and “may be”). The first step is to determine the reason for the apparent resistance. Often what appears to be resistance is the individual working through the sense of loss for having to stop doing something that was comfortable. A second form of resistance is grounded in having serious questions about whether the change will really be an improvement. This questioning may be due to limited understanding about the change, or it may be based in solid reasoning and evidence. Some see a third form of resistance—several contemporary writers have stated in one way or another that change is painful, and they assert that this pain must be endured as a natural part of the change process. These authors might leave you feeling that only the masochist likes change, but this does not have to be the case.

Each of the three cases for apparent resistance has very different underlying reasons. In most situations, addressing the resistance requires attending to individual differences (Change Principle 4). To address these concerns requires very different interventions. *If* the process is facilitated well, learning about the change and its implementation can be productive, and it certainly does not have to hurt or even be dreaded. Of course, there are moments of frustration and times of grieving over what is being lost. However, if there is major pain in change, chances are strong that the leadership for the change effort has not understood what is entailed and required to facilitate the process well. In each of the following chapters, basic constructs, measures, research findings, and case examples will be introduced and used to describe ways of more effectively facilitating change. If these tools are understood and used well, there should be little resistance or pain—and large gains.



### **REFLECTION QUESTIONS**

**Think about a change effort in which you have been involved. Were any individuals involved resistant to the change? Which of the three explanations might apply to these individuals? Or, is there a fourth explanation for their attitude?**

## **Change Principle 7: District- and School-Based Leadership Is Essential to Long-Term Change Success**

A central theme of advocates for bottom-up change is that those nearest the action have the best ideas of how to accomplish the change. Many implementers believe that they do not need any involvement from or with those above them. But here again, the findings of research and experience argue for a different conclusion.

Many of us have had firsthand experience with trying to implement some sort of innovative effort from the bottom. A classic example for the authors of this book was when we first worked together as teacher education faculty members. We were hired to create and implement an experimental teacher education program based on the Teacher Concerns model of Frances Fuller (1969). We and several others formed a multidisciplinary faculty team that developed and operated an experimental teacher education program that was truly an innovation bundle, one that included innovations such as professors teaming, an all-day blocked schedule for teacher education candidates, early field experiences, and a partnership of principals and teachers. In short, it incorporated many of the innovations that are found in what are now called professional development schools.

Although the teacher education program was very successful and became well known nationally and internationally, it expired after five years. It did not become the regular teacher education program at our university, nor did it have much direct influence on the traditional teacher education program. Why was that?

As faculty, we were at the proverbial bottom of the organization. As long as we had the energy, we were able to work collaboratively to develop and implement our innovation bundle. Although that bundle turned out to be successful, over time our faculty colleagues in the regular programs and the administration of the university did not actively support the continuation of the bundle, nor the implementation of any of the specific innovations into the regular programs. Without their direct support, in the end the innovation withered and was forgotten.

The point here is not to analyze what we might have done to garner more upper-level administrator support (which we will do in other chapters). Rather, our objective is to use firsthand experience to show that although the “bottom” may be able to launch and sustain an innovative effort for several years, if higher level decision makers do not engage in ongoing active support, it is more than likely that the change effort will cease.

In many ways Change Principle 7 is a corollary of Change Principle 8, since everyone along the policy-to-practice continuum has a role to play if change is going to be successful. Yes, teachers and professors can create, share with others, and implement new practices. Yes, administrators have to do things on a day-to-day basis that are supportive and provide continuous learning about the innovation opportunities. (Remember those One-Legged Interviews?) Administrators also have to secure the necessary infrastructure changes and long-term resource supports if use of an innovation is to continue indefinitely. And finally, yes, policymakers need to design policies that legitimize infrastructure changes and innovative practices and encourage continued use of the innovation.

## **Change Principle 8: Facilitating Change Is a Team Effort**

In this book we will emphasize repeatedly the importance of facilitating the change process, which means that leadership must be ongoing for change to be successful. In Chapter 6 we

**TABLE 1.1 The Policy-to-Practice Continuum**

FEDERAL	STATE	DISTRICT	SCHOOL	CLASSROOM
President	Governor	Superintendent	Principal	Teacher
Secretary of Education	Commissioner of Education	Board of Education	Site Council	
Congress	Legislature			

will describe different Change Facilitator styles and the significance of each. Embedded in all of this and in many of the principles presented here is the core belief that change is a team effort. Just as in Change Principle 3 we stressed that no school is an island, we argue here that collaboration is also necessary among those responsible for leading change efforts.

Although in Change Principle 7 we describe the crucial role of the school principal, we want to emphasize that many others also have a responsibility to help change efforts succeed. Indeed, other administrators play important roles, as do frontline users and nonusers of the innovation. Teachers, for example, play a critical leadership role in whether or not change is successful. We really are in this phenomenon together, and all must help to facilitate the process.

Team leadership for change extends far beyond the school site. In many ways all of the actors across the Policy-to-Practice Continuum (see Table 1.1) are contributors to change success. Each of these role groups has the potential to strongly influence what happens at the local site and with individual users. State and federal executives and policy makers obviously have the potential to affect change in schools. Each time there is an election, voters hear about the “education” governor/president. Administrators and staff in the school district office can make important contributions to efforts to move across the Implementation Bridge. Each of these “external” roles can, and do, make significant differences in the degree of success of change. Colleagues in a school make a difference, too, as they learn about the change together. When teachers and others inside the organization share successes and challenges, implementation efforts can be more successful.



### REFLECTION QUESTIONS

**Consider a change project in which you were part of the team that supported and facilitated the effort. What roles did you and the other team members represent? What support and assistance did you and the team offer that contributed to the success of the project?**

### Change Principle 9: Mandates Can Work

Change Principle 5 introduced the concept of interventions and gave special attention to a category of small interventions called One-Legged Interviews. Among the number of other types of interventions that will be described in later chapters, one of the more common is known as a *strategy*. A mandate is one kind of strategy that is used widely. Although mandates are continually criticized as being ineffective because of their top-down orientation, they can work quite well. With a mandate the priority is clear and there is an expectation that the innovation will

be implemented. The mandate strategy fails when the only time the change process is supported is at the initial announcement of the mandate. When a mandate is accompanied by continuing communication, ongoing learning, on-site coaching, and time for implementation, it can work. As with many change strategies, the mandate has garnered a bad name—but not because the strategy itself is flawed, but because it is not supported over time with the other necessary interventions.

### **Change Principle 10: Both Internal and External Factors Greatly Influence Implementation Success**

There are a number of factors that affect how successful each school will be in implementing change. Internal factors include the history of past attempts to change as well as characteristics of the current innovation. An additional factor is the recognition that no school is a fully independent operation (Change Principle 3). There are external pressures and expectations that cannot be ignored. How the internal and external factors are interpreted and applied becomes the key to implementation success.

*Internal factors* can easily be divided into two major sets:

1. *Physical features* of the setting, such as size, resources, spaces, technology, and schedules. Each feature can be either an important support or a hindrance. If the schedules facilitate implementers collaborating, there will be more teamwork. If technology can be used with ease, there will be more uses of it.
2. *People factors* include beliefs, attitudes, values, perceptions, and expertise. Of course leadership (Change Principle 7) and the depth of distributed leadership (Change Principle 8) are key factors. The organization culture and related norms are a set of internal factors that most certainly affect change success. For example, a staff that believes that adult learning is important and openly shares successes and failures will be more successful in implementing new approaches.

*External factors* most certainly include the multiple policies and procedures related to accountability that must be addressed. Characteristics of the surrounding community and the socioeconomic status of families are other obvious external factors. The amount of direct support and advocacy from supervisors, such as district superintendents, also are key factors. At the same time, as important and influential as these external factors may be, there are significant differences in how the people internal to the school interpret them.

In some schools, external factors drive everything: “The state makes us do this.” In other schools within the same external environment, the internal interpretations can be quite different: “This is the policy. However, it doesn’t say that we can’t do it this other way.”



#### ***Pothole Warning***

*With no interaction with the staff, the administrator/principal of the school determines that the staff should adopt a new mathematics curriculum that targets students’ self-initiated learning. The program is announced to the staff, and they are provided with two days of staff development to support this adoption. The principal announces that there will be an evaluation of the new program at the end of the current semester.*

### ***Pothole Repair***

*Wow! Do you feel revolution in the air? This internal mandate will fail. Alternatively, the professional learning community school is an internal structure/strategy in which the entire staff—administrators and teachers—come together to study student performance data in order to decide collectively where attention needs to be given for increasing student learning, and what innovation or new programs/processes will be selected to address the needs of the students. Related is the attention by internal and external facilitators needed for providing the interventions necessary to support the staff in learning to use the new way.*

## **Change Principle 11: Adopting, Implementing, and Sustaining Are Different Phases of the Change Process**

In the distant past, and unfortunately in too many instances today, a decision is announced with the expectation that by the first day of the new school year, a change is made; although it is doubtful that life was ever really that simple. Today, especially given the complexity of most innovations, assuming change by simply announcing the adoption decision is bound to result in little success.

Understanding that change is a process (Change Principle 2) and that an Implementation Bridge is necessary is becoming widely prevalent. However, there seems to be less appreciation for the length of time it takes for most implementers to move across the bridge. In schools and in higher education, it commonly takes three to five years to fully implement a major reform initiative. True transformational changes can take even longer.

There is a rich history of research related to adoption and implementation. We know a lot about how to facilitate implementers moving onto and across the bridge. We have a lot less experience with understanding how to sustain use of the new way. Staying across the bridge and continuing to use the new way with quality requires structural changes as well as ongoing attention by both internal and external leaders.

## **Change Principle 12: And Finally, Focus! Focus! Focus!**

It does not require multiple academic degrees to understand that multiple change efforts require multiple resources, and multiple amounts of attention and energy with multiple actions, to utilize formative and summative evaluations of the efforts to assure successful implementation. These elements require consistent, enduring, and uninterrupted attention to the goals and intended results of each change initiative. Consider the childhood fable of the Tortoise and the Hare's race. The Hare had a top-notch portfolio of talents and capacities that would surely enable him to win. For whatever reason, the Hare, possibly thinking of his superior skills and advantage, charged blithely ahead, skipping down the race path, admiring the blooming shrubs and flowers, thoughtfully picking some fragrant gardenia blossoms that might assist him in becoming better acquainted with Missy Blondine Rabbit. Meanwhile the Tortoise was consistently plodding along—with all attention given to the end marker that was the goal of the race. We know the result: The distractions allowed by the Hare gave the race to the Tortoise, who remained steadfast in her singular resolve to reach the end and win.

One might also recall Larry Lezotte (premier leader of Effective Schools research and practice) who advocated for schools and districts to exercise “organized abandonment,” to carefully consider the primary goal of their improvement efforts, and eliminate all change

initiatives that had accumulated but that did not support the major identified goal (1991, p. 4). This leaves the priority goal's challenge with all available resources to achieve its desired results. Jim Collins, Stanford Graduate School of Business, corporate leadership guru, author/lecturer, and researcher of business practices, in his book *Good to Great* (2001) admonishes change leaders to follow the "hedgehog concept"; that is, do one thing and do it well. In other words, keep the focus on the primary goal to be achieved. This is done, Collins maintains, through conscious choice (determining the precise goal to be achieved) and discipline (saying "no" to any opportunities that distract from the identified goal).



## EAST LAKE SCHOOL DISTRICT'S STORY

The East Lake School District was introduced in Part I that precedes this chapter.

### EAST LAKE IS ABOUT TO EXPERIENCE AN EPIPHANY ...

Mike Johnson, superintendent of East Lake School District, returned home after attending Mountain View High School's basketball game in the school's gymnasium. Mike felt especially obligated to remain for the whole game and see it to its successful conclusion on their home court (Mountain View won!); at a game a week earlier, a player on the visiting team suffered a possible concussion as the result of a fall on the gym's newly waxed and slippery surface. At their residence, Mike and his wife briefly shared anecdotes of the day and evening. Brenda Johnson had attended the community's Leadership Council for Tomorrow's monthly evening meeting. After hearing of the safe and successful basketball game, Brenda asked Mike if he had ever heard of the Hedgehog Concept, a topic that had consumed 30 minutes of her meeting and had been led by a supporter of the concept. Mike acknowledged that the topic was not familiar to him.

The next day Mike attended the Rotary Club's weekly luncheon, where the supporter of the Hedgehog Concept was the speaker. She promoted enthusiastically and at length the concept on how any business or organization can select one critical goal or objective to pursue and then employ the discipline to remove any and all obstacles that could cause distraction or lack of attention to the identified goal. Mike gave little attention to this message until after the meeting, when a visiting superintendent from a neighboring district called Mike's attention to the possible virtues and successful outcomes of such an approach.

Back in his office at 2:00 p.m., Mike was visited by Principals Inez Hernandez and Michael Major, who had been privy to the "gossip, rumor, and here-say" communication network in the district. They wondered if the superintendent had learned about "Hedgehogs and stuff" that was traveling around several of the schools. The visitors had copies of a paper written about it, one of which they left on the superintendent's desk. Mike declared innocence about Hedgehogs, and the conversation moved on to other topics. But at 3:30 p.m. on that day, a very important announcement arrived at the superintendent's office. The Director of Facilities, Transportation, and Budgets rushed in with a sheaf of papers to inform his boss that the state legislature had just removed 5 billion dollars out of the fund earmarked for schools. This move was to support the state's "arrogant" governor's interest in expanding his small business project and to contribute to the budget shortfall of the state.

This news meant a serious problem for the district. The director wondered to the superintendent if the district could afford to continue to support all the initiatives that the district had undertaken in the past couple of years, given the serious possibility of reduced state level funding.

After the director departed, Mike called in the assistant superintendent, Dr. Hanson, and asked her about Hedgehogs. "Do you mean," Dr. Hanson asked, "Jim Collins's message in his book *Good to Great* that suggests to the corporate sector that they not follow the typical business ideas for developing a successful business? Actually, I read that book for one of my recent courses. The metaphor is from a 1953 essay about Tolstoy's view of history that was written by Isaiah Berlin. He compared foxes, who are fascinated by many things, to hedgehogs, who tie everything to one whole system."

**EAST LAKE SCHOOL DISTRICT'S STORY (CONTINUED)**

Mike replied, “I think we should call a meeting immediately of our principals and school board to consider the impact of the legislature’s decision and our district’s work on school improvement. Let’s try out this metaphor along with Hall and Hord’s Change Principles. We really have to focus. And also, invite our budget director.”

“Yes, sir,” she said and left to arrange and organize for the meeting.

**A TURNING POINT MEETING**

Copies of the paper, left for the superintendent by the two principals, as well as a thick report of the district’s state student test scores; status reports of the district’s multiple change initiatives (which were not very pithy, given the nearly nonexistent monitoring of the individual efforts); a handout of the Change Principles; and the business office’s copy of the legislative action marked each seat and were noted by the attendants as they convened for the meeting.

Three and a half hours later, Mike complimented the group on their meticulous examination of the data that were supplied. He further shared his appreciation for their uninterrupted attention to the task before them, including how to manage the district’s efforts to consistently improve the schools’ effectiveness so that all students learned well and how to deal with the looming financial crisis. He was effusive in his endorsement of the decision that they had collectively agreed on: The district would push full throttle ahead on adopting and implementing the new standards-based mathematics curriculum, and they would show how the other efforts were related, although those efforts would be of lower priority until time and resources became available for their full support.

Mike explained, “We will address the highly important mathematics curriculum since our student data tell us of its compelling need for attention in the district. Since it is tied to the Common Core Standards, this will also tie to the state’s policy that directs all districts to create a plan to tie teacher evaluation to growth scores. Our next step is to convene a meeting of our community stakeholders to explain to them the situation, the rationale for our decision, and to request their support and advocacy. Leslie has provided each of us with a copy of research-grounded Change Principles for consideration. Please review these principles and be prepared to discuss their application to our new effort. You will note that we have already addressed Principle 12.”

**REFLECTION AND APPLICATION OF THE CHANGE PRINCIPLES**

At the next meeting a week later, there was general consensus about how the Change Principles fit the district’s situation and what needed to be done. Inez Hernandez (Island Park’s principal) started by summarizing several of the principles. “Four of the principles might efficiently and effectively be considered collectively by East Lake: Principle 3, the school is the primary organizational unit for change; Principle 4, the organization may adopt a change, but it is up to the individuals who are expected to use the change to implement it; Principle 2, change is a process, not a one-time provision of an event such as a large-group learning session (workshop); and Principle 1, that change is based on learning about a change and how to use it. These four principles focus on *who* will be involved in implementation and on the initial *time and effort* that will be required for implementation.”

Dr. Hanson said, “Our district’s leaders should give early attention to address Principle 1 in order to launch the learning about the new mathematics change and how to use it. Research has instructed us that this principle and its learning is a multistep process initiated by hearing about or reading about the change, followed by a demonstration or modeling of the change, after which the potential implementers engage in practicing the new “way” and are given feedback. Ultimately, these individuals transfer the newly developing skills and capacities into the classroom where coaching is provided. These individualized coaching sessions are provided to eliminate incorrect behaviors and to improve the developing practices so that the novice (at the outset) now becomes expert in using the innovation.”

**EAST LAKE SCHOOL DISTRICT'S STORY (CONTINUED)**

Assistant Superintendent Leslie Hanson added, “All of the principles work ‘hand in glove,’ for none of the principles operates in isolation from the others, but in tandem—that is, together. Our district and school leaders will require effective lessons in the use and application of these principles in their journey to school improvement through changes in classroom practice.”

Superintendent Johnson followed, “Consider another grouping of the principles for our district: Principle 5, interventions are key to the success of change; Principle 6, interventions to support the change must be appropriate; Principle 7, leadership is essential (for assessing, planning, coordinating, supporting, and providing the interventions) for facilitating the change process; and Principle 8, this facilitation is a team effort. These principles attend to the interventions designed to facilitate implementation, which is context-specific, as Principle 10 reminds us. Significantly, the successful use of these principles is dependent on contextual factors, as is Principle 9, that mandates can work. Surprise!”

The superintendent continued, “Principle 11 maintains that the phases of the change process should be kept fully in mind during the adopting phase, followed by implementing; and when implementation has occurred, the now not-so-new change is sustained as it becomes part of routine practice. We are now discontinuing our efforts to keep all the balls of multiple change efforts in the air simultaneously. We need to keep in mind that for our folks, this new direction will be seen as a big change. We need to be sure to be clear about the situation and the reasoning behind our plan.

“In short, we are taking the advice of the Hedgehog and have identified a single highly significant innovation on which we will discipline ourselves to give undistracted focus and attention for the next three to five years.”

The superintendent summed up the consensus: “This will be a big change for our district. We need to keep in mind that just adopting this focusing strategy is only the first phase. We now have to work on getting everyone on to and ultimately across the Implementation Bridge. The district has taken what would have been our first advice: to clarify and focus on only one new big-ticket effort at change and then proceed to consider carefully the concepts, strategies, and tools that will enable this district, its schools, and its educators to become more effective in using this innovation in order to provide a quality education for all our students.”

**CRITIQUE QUESTIONS OF EAST LAKE DISTRICT'S STORY**

1. If Change Principles 1, 2, and 4 had been operating in this district, what differences would they have made?
2. What would you advise should be done next in this district?
3. If an innovation requires three to five years for quality implementation, how would you have managed the six initiatives held by this district?

**SUMMARY**

We have shared in this chapter a dozen principles important for consideration in the implementation of change. In order to provide a brief introduction to others about these principles, these talking points might be used:

1. A fundamental understanding required for the adoption and implementation of any change, or innovation, is that those who will be involved with it, whether using it or supporting others in using it, must learn what the new “way” is, and how to use it appropriately and productively.

2. Change is not a one-time event, but, rather, typically a three-to-five year process that can only be successful with consistent attention and focus on the learning and implementing needs of the participants.
3. While it is individuals who implement changes, the school is the primary organizational unit that adopts the change with the expectation that all members will take it on board and install it at a quality level; the district may introduce and “oversee” the change at the schools, but until each individual in each school has personally implemented it, change cannot be said to be implemented.
4. Interventions will dictate the success of the change effort, and appropriate interventions reduce resistance to adoption and implementation.
5. Leadership at the school and district levels is essential to successful change, and increased success occurs when the leaders take action as a team.
6. Surprise! Mandates can work as a successful approach to change—if communication, learning, and support are provided across the adoption and implementation stages.
7. Both internal factors (such as *physical* features of resources, schedules, space, technology; and *people* characteristics such as attitudes, values, expertise) and external factors (policies, regulations, community demographics) influence implementation; the wise change leaders give these factors careful and thoughtful attention.
8. Implementation leaders should never forget that there are clear phases to any change process—adopting, implementing, and sustaining—with each requiring its unique attention and support.
9. Too many change leaders, thinking that more is better, allow multiple change efforts to crowd into the district system and its schools; the wise leaders identify one vital change at a time upon which to focus resources and staff attention and effort, in order to produce the success of their most vital initiative.

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## DISCUSSION QUESTIONS

1. Identify, at this point, the Change Principles with which you most strongly agree. Are there any with which you strongly disagree? Why?
2. If a change effort is unsuccessful, which principles might be most “at fault”? Explain your answer.
3. Change Principle 6 addresses resistance to change. Is resistance ever appropriate or useful?  
If yes, explain why.
4. Describe a change experience that you have had or are experiencing. Point out how the 12 different principles relate. Do any of them explain why specific things went well and what is, or was, problematic?

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## APPLYING THE PRINCIPLES IN FACILITATING IMPLEMENTATION

1. Convene two or three persons in leadership roles in a school district or other type of organization. Ask them to review the 12 Change Principles and request that they describe how each principle is being addressed. Do they identify one or more principles that they have not addressed?

2. Select a school or other type of organization, and learn about its effort to implement a major innovation. Make a chart of the internal and external leaders of the change process. What types of facilitating interventions is each person making? To what extent are the individuals working as a team?

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## APPLYING THE PRINCIPLES IN RESEARCH OR PROGRAM EVALUATION STUDIES

1. In a school district where a districtwide innovation such as a new curriculum or perhaps a new technology has been introduced, conduct a survey, or interview leaders of a sample of schools. The survey should be constructed to solicit information about which of the Change Principles guided the introduction and implementation of the innovation, and which of the principles seemed to have been missed.

Construct a chart on a large piece of chart paper, listing the 12 principles with a brief description of each principle down the left (vertical) side. On the horizontal continuum, place the name of each of the surveyed schools at the top of the column. Under the name of each school, make two columns, labeling one *Principal* and the second *Teachers*. This prepares your chart on which you will record your findings by filling in the cells with information obtained from the principal and the teachers that you interview and/or survey.

2. Interview a principal and several teachers individually (this should be done confidentially—do not reveal your sources). Solicit from them indicators of the presence or absence of each of the Change Principles. Compare the responses of the teachers with the administrator. Share the results with the administrator and other persons responsible for facilitating the implementation effort.
3. For a particular change initiative, such as a school/district improvement plan, conduct an Implementation Assessment for the purpose of seeing to what extent all of the Change Principles have been addressed. Share the results (above) with the central office staff responsible for implementation. If there is agreement, assess the implementation effort at several future times, such as every four months, to ascertain if/what interventions have been provided that address each of the principles. At the conclusion, share the results with this group.

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## LEARNING MORE ABOUT CHANGE PRINCIPLES

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# WHAT ACTIONS AND EVENTS ARE IMPERATIVE IN FACILITATING IMPLEMENTATION?

## Interventions

*Oh, my! I have just been called by the assistant superintendent to participate with a planning committee for introducing the new standards-based mathematics curriculum. I don't know whether to be thrilled or terrified!*

—Josh Searight, Mathematics Department Head, Mountain View High School

*I am so pleased. Our school improvement team just finished writing a grant for \$50,000 that will supply resource materials and equipment for our new science program.*

—Assistant Principal, Mountain View High School

*What should I do next? The teachers have been to the fall series of three workshops and still don't understand how to operate the mathematics tutoring process. It appears that one-to-one help is now needed.*

—Counselor, River Run Elementary School

*Interdisciplinary curriculum development has required a significant amount of time and resources across these first three years, but it is well launched in our school, and we are preparing to report to the board about our efforts.*

—Michael Johnson, Superintendent, East Lake School District

*You know, the staff doesn't seem to really get it. What can I do to help them "see" my vision for our new curriculum that will surely make a great deal of difference in our students' mathematics achievement?*

—Beverly Denver, Instructional Coach, Island Park Elementary School

All too often, the public, education professionals, and policy makers assume that change just happens. We are reminded of two theories articulated by Chin and Benne (1969):

1. The rational empirical approach to change postulated that a good program or process provided to good people would find its way into their practice. (The clue here is *good*.)
2. The power coercive approach maintained that a good program or policy delivered to good people through the offices of a power or authoritarian figure would certainly ensure change in practice. (The key here is *power* and its influence.)

Even today these two approaches tend to be employed by would-be change agents who assume that change will just happen if an attractive or needed innovation is presented (or mandated). Typically overlooked by such would-be reformers is an understanding that most change implementers have full-time jobs and don't have the opportunity to carefully and methodically design a self-changing approach. Difficulties also arise if the innovation is complex and vastly unfamiliar to the persons who are expected to adopt and implement it.

What we know from our own research and review of the literature on successful school change is that the ongoing actions of leaders and others are needed in a major way to support implementers. The main purpose of this book is to help would-be change facilitators to understand and learn how to apply a set of research-verified constructs and tools that can be used to develop the insights and skills needed to achieve successful change. Through our studies and firsthand experiences with supporting change in schools, businesses, and other organizations, we have assembled a large set of success stories. An important element of these successes has been notes about the rich variety and abundance of actions that leaders and other facilitators can do. Such ways of thinking about and describing change-facilitating actions are the topics of this chapter.

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## LEARNING OUTCOMES

After reading this chapter, the learner should be able to:

1. Identify and describe actions and events that become interventions.
2. Specify potential persons who deliver interventions.
3. Explain why interventions are really necessary.
4. Identify and describe six basic kinds of interventions needed for supporting successful change initiatives.
5. Report additional kinds of interventions that may be considered by facilitators.
6. Advocate for different sizes of interventions that researchers and practitioners use for studying and planning change.

## INTERVENTION DEFINITION

Already you will have noticed our frequent use of the term *intervention*. This term has several meanings, which can lead to some confusion. In some disciplines, such as the health sciences and community development, the meaning of the term is a combination of the change, that is,

innovation, and the various actions related to adopting the change, such as technical assistance. Here, the meaning is limited to the actions that affect change processes. As you will see, we use the term with great regularity in this book. The actions of leaders and others are so critical to change process success that we have devoted a great deal of time to analyzing what is done and the differences that interventions can make. Facilitators provide the interventions that can increase the potential for the success of change or allow it to fail. Thus, we think it is important to understand this term as we use it. Our explanation and definition follow; please hear our voice.

A white paper for one of our earlier studies reported on our efforts to develop a definition of the construct “intervention.” After extensive fieldwork and research team debate, we settled on the following:

Any *action* or *event* that influences the individual(s) involved or expected to be involved in the process of change is an intervention. (Hall & Hord, 1984)

Notice the use of the terms *action* and *event*. An action is deemed to be planned and focused deliberately on an individual, group, or all users or prospective users of a program or practice (see Table 2.1). Such an action could be sending an article about the use of math manipulatives to all primary teachers who teach mathematics. Discussion in a staff meeting about how implementation is going is another intervention. Complaining to a colleague also could be an intervention.

An event, on the other hand, is something that occurs outside the deliberations and plans of the change process. Has this ever happened to your effort? We have observed that events do indeed influence the process of change, so we have included them in our definition of intervention. Events that we have observed in our work include the following:

- A blizzard that prevented all truckers from delivering necessary equipment for a district’s new astronomy program.
- A fire in the intermediate service center’s print shop that caused a 3-week delay in getting materials for the high school’s drug-prevention initiative.
- A learning styles consultant’s bike accident on a mountain trail that resulted in rescheduling campus-based facilitators’ preparations and planning for the project.

Each of these events was not planned; however, each affected change process progress.

Another important element—whether it is an action or an event—is that an intervention’s influence may be positive or negative. In some of the preceding examples, the influence was intended to be positive, while the examples of events all suggest negative consequences.

**TABLE 2.1** Definition of an Intervention

---

Action	or	Event
that is		
Planned	or	Unplanned
and that influences individuals (either positively or negatively) in the process of change.		

---

**TABLE 2.2 Indicators of the Intervention Construct**

- 
1. If a central office curriculum coordinator brings microscopes to a teacher who is implementing a new life-science curriculum, this is an intervention to support the teacher's use of the change.
  2. If a university professor coaches three principals in developing instructional leadership skills by meeting with them each week across a school year, this is an intervention on behalf of the principals' developing new roles.
  3. If a principal conducts a staff development session about formative assessment, the principal has provided an intervention.
  4. If a superintendent sends an e-mail or hosts a party for all district staff in recognition of a success, that is an intervention.
  5. When two teachers meet in the parking lot and talk about the innovation, that too is an intervention.
- 

This does not mean that all actions are positive or that all events are negative. A refusal to approve funding for a how-to workshop (action) can be negative, whereas a flat tire that forces teachers to carpool (event) and thereby have the opportunity to share success stories could be positive (see Table 2.2).



### ***Pothole Warning***

*Be very sensitive and observant to the unplanned events that will almost always creep into the change process. Beware that their influence can be negative—or not.*

### ***Pothole Repair***

*Keeping your ear to the ground and your hand on the pulse will be very helpful in forestalling unfortunate negative events that cause change projects to flounder. On the other hand, maintaining a close watch as implementation unfolds can afford the possibility of identifying events that have a positive influence; these then should be capitalized upon and repeated for their continuing effect.*

## **THE SIZE OF INTERVENTIONS**

We have seen and recorded wide-ranging types and sizes of interventions—from quite simple and short-term actions to multiyear strategic plans. An example of a short-term intervention would be a One-Legged Interview, such as when a school improvement team member stops by to say hello to another teacher and then asks if she has any needs regarding the new technology. Another, more complex example is a change facilitator observing an implementer and providing feedback on his use of a new instructional strategy. An intervention's simplicity or complexity may be analyzed, and this, as well as the various levels of interventions that constitute a typology of interventions that facilitators can consider in their work, is addressed in the remainder of this chapter.



### REFLECTION QUESTIONS

**Consider a change project with which you are familiar. Identify an action and an event that occurred during implementation. Who, or what, contributed the action and the event? What were the results of each action and event?**

### SOURCES OF INTERVENTIONS

Who are the deliverers of interventions? Policy makers and executives are quick to claim responsibility for many change initiatives. The research on and stories about successful school change are almost unanimous in identifying the principal as the primary catalyst and facilitator of site-based change. And yet, as we have documented in our studies, the principal is not the only source of interventions.

It is easy to assume that principals and superintendents, because of their positions, are the primary change facilitators. Although this is desirable, it is not always true. Frequently, they are a minimal source of change process–related interventions. Even when they are involved, almost inevitably, because of the multiple roles that administrators have, others are the major sources of interventions (see Table 2.3).

We suggest that innovation-related interventions and change facilitation support and assistance may be delivered by any person who assumes the role and responsibilities of the change facilitator (whether implicitly or explicitly). In other words, there are many possible and actual sources of change-related interventions.

One important implication is that many change effort participants, including implementers, do not realize that they take actions that influence an individual, a group, or perhaps the entire change effort. Another implication is that many people can be involved in the delivery of planned interventions. One significant result is that the burden of support and assistance to the users and nonusers is distributed. Responsibility for change leadership can be shared. This is important in view of the limited time that people typically have to invest in facilitating change. Sharing change-facilitating responsibilities means that the role is not necessarily positional but becomes operationally defined by what is done and by whom, which is the focus of the discussion that follows.



### REFLECTION QUESTIONS

**Think back to your involvement in a change effort. Recall any and all individuals who supplied help and assistance in the implementation of the change. What roles did these individuals represent? Were they administrators? Teachers? Coaches? Parents? Others?**

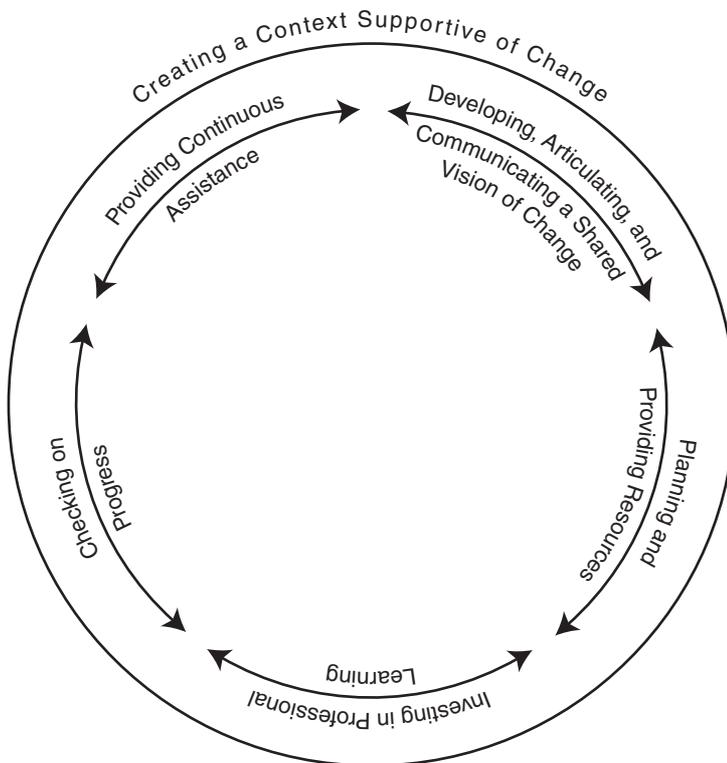
**TABLE 2.3 Sources of Interventions**

CAMPUS	DISTRICT	COMMUNITY	GOVERNMENTS
Principals	Superintendent	Parents	Policy makers
Key teachers	Curriculum coordinators	Business	State board/Legislature/Congress
Counselor	Instructional supervisors	Representatives	Governor/President
Students		School board	Voters

## SIX FUNCTIONS OF INTERVENTIONS

Many organizations, leaders, and consultants have been committed to implementation of various changes and improvements. Considerable time and attention are given to implementing change through such efforts as developing school/district improvement plans. Although planning activities for change seem generally to receive great attention, thinking through the details of delivering key interventions frequently falls in the cracks. Up-front planning for the launch of a new initiative can be very well thought-out, but often there remains an implicit assumption that implementation is an event.

Think back to the metaphor of the Implementation Bridge. The Giant Leap (shown in Figure 1.2) illustrates what happens when we assume that adoption automatically results in immediate student gains. As obvious as this metaphor may be, too often change leaders do not plan for the actions that will facilitate implementers getting across the bridge. Instead there is an expectation that somehow change unfolds magically. Unfortunately, this scenario is far too often exercised in our schools, universities, and other organizations. This approach is seen every year with the announcement of another “fix” that is to be adopted with little funding, limited resources, and an expectation that change will be accomplished in a relatively short time period.



**FIGURE 2.1** Six Functions of Interventions

Thinking in depth about interventions is critical for all organizations and especially for school success in implementing today's complex innovations and comprehensive reforms. To respond to this issue and to provide an example of the Implementation Bridge across a chasm, the staff of the Southwest Educational Development Laboratory (SEDL) undertook a broad review of the leadership and change-facilitation literature.

Their first objective was to identify relevant research-based concepts and information that could support the development of effective facilitative leaders for school improvement projects. To help these busy practitioners get to the center of change-facilitation work, and to share strategies for moving implementers across the Giant Leap's chasm, this wide-ranging review of the literature focused on the actions and behaviors of leaders who were facilitating change (Hord, 1992a)—in other words, on interventions. What could be more important, the staff asked, than assisting potential facilitators in understanding the demands of the role and the strategic interventions required for advancing the change effort?

The literature review resulted in identifying a broad array of interventions, which were organized into six *Functions* (see Figure 2.1). A major source of this information came from earlier CBAM research, specifically the Principal/Teacher Interaction (PTI) study reported by Hord and Huling-Austin (1986) and the conceptualization of Game Plan Components in an Intervention Taxonomy done by Hall and Hord (1984). These six Functions were deemed necessary for making change happen. In many ways they constitute the job description for change facilitators, whether they are assigned to local schools and districts or to state departments of education and other organizations. The ultimate purpose has been to think about the importance of different types and sizes of interventions that are necessary to realize successful change in organizations. Since the original identification of these six Functions, they have been continuously reviewed and revised through ongoing literature reviews, especially the research on successful change (Hord, Rutherford, Huling-Austin, & Hall, 2004). These six Functions, which CBAM devotees have come to refer to as the “six sacred strategies,” are introduced next.

### **Function I: Developing, Articulating, and Communicating a Shared Vision of the Intended Change**

A first step in moving toward a changed and improved future is the development of a shared dream or vision of what will be—such as a vision of the future that increases student outcomes. The goal of increased student outcomes could result from specific changes or innovations that are selected for adoption and implementation. Many change efforts fail because the participants do not share mental images or pictures of what classroom and/or school practice will look like when an identified change is implemented to a high quality. Picturing the change in operation provides the target for beginning the change journey. A part of this process can be creating an Innovation Configuration (IC) Map of the change—a useful way of defining what the change/innovation will look like when it is actually and actively in operation in its intended setting (see Chapter 3).

The elements of the shared vision of change must be as clearly defined as possible, and facilitators must continuously communicate this vision to enable implementers to move toward high-quality implementation. When implementers have a shared vision, facilitators can be consistent in supporting individuals and groups.

Specific facilitator interventions for developing a shared change vision could include but are not limited to engaging the school staff and community in identifying its beliefs and values regarding the purposes of the school, determining areas of the school program in need of change and improvement, selecting solutions to address the areas in need, and collectively developing clear mental images of the solution (i.e., the vision of change) when it is in operation in the school or classrooms.

The shared vision can be communicated in multiple settings: on the school's or district's Web site, in school and district newsletters, at school board and other community meetings, at the local coffee shop, and even on the golf course. The idea is to continually remind all constituents, in various ways, of the vision and where the school is in relationship to realizing it. Related is the understanding that attention to the vision must be provided throughout the process of change in order to capture and capitalize on (or diminish) evolving changes in the vision. For further material on vision and on the six Functions of basic interventions, see the Additional Readings/Resources at the end of this chapter.

## **Function II: Planning and Providing Resources**

When an initial vision for change has been established (the vision can certainly evolve and change as the school staff experiences, learns, and gains more expertise), planning for its realization is both possible and necessary. All logistical factors and resource allocations, along with policy implications, must be considered. Although it seems obvious, the planning and provision of resources represent an important means by which implementers are enabled to initiate implementation and sustain the change process. We have observed change efforts that lacked necessary resources, which forestalled the expected beginning of the change process and in the end doomed the entire effort.

We frequently observe school districts and other organizations that have well-articulated policies for selecting innovations. What we find missing is the equally important set of policies that address how implementation is to be supported and achieved. We also regularly see failures to plan for *sustaining* use of the innovation once it is implemented.

Planning is not a one-time event. Like a holiday trip, destinations sometimes change, and unexpected additions frequently may be made for increased effectiveness and/or satisfaction. Thus, although a plan is essential for understanding where the change journey begins, it should never be considered as cast in concrete. Likewise, the resource requirements for a change are altered across time as implementers become more expert in the use of an innovation and as the configuration of use may make differing demands. Not to be forgotten is the regular depletion of program materials and equipment and the need for updating supplies to teachers and students.

Other types of resources also require planning. One of the most important and most typically lacking is time: time for planning, time for professional development, time for sharing, and projecting the time (years) it will take to achieve high levels of use. Also important, of course, is time for facilitators to do *their* work. School administrators would do well to plan dedicated time for one or more skilled facilitators to coach and address Stages of Concern (SoC) (Chapter 4) and Levels of Use (LoU) (Chapter 5). Scheduling time for implementers to meet to discuss successes and share solutions to problems has proven to be valuable, also.

Other specific actions of facilitators related to this Function include developing policies related to implementation (if they are not already in place), establishing rules and guidelines by which implementation progress will be assessed and monitored, staffing new roles and/or realigning existing ones, scheduling meetings and other regular and nonregular events, seeking and acquiring materials and equipment, providing space, and accessing funds needed for the new program or practice.

### **Function III: Investing in Professional Learning**

Change means developing new understandings and doing things in new ways. If faculty members are to use new curricular programs or instructional practices, they must learn how to do that. Thus, *learning* is the basis of and the corollary to change (see Change Principle 1, Chapter 1). Formal training and other forms of professional and personal development, then, are essential to preparing implementers for the change. And, when change is viewed as a process, learning opportunities for implementers should be ongoing as they develop more expertise in using the innovation. All too frequently, training workshops are scheduled only at the beginning of a change effort. We know that Task concerns do not become intense until after use begins. Therefore, Stages of Concern can be used to design and shape the development and learning sessions in the preimplementation period of preparation as well as during implementation, when implementers are changing from novices to mature users of the new practices (as is discussed in Chapter 4). Note also that different levels of information and understanding are characteristic of people's behaviors at each Level of Use (see Chapter 5).

Leaders of the change effort will need to consider the following interventions, and others, in the learning and development category: scheduling learning and development sessions across time as the implementers move from novice to expert; identifying and contracting with consultants (internal and external); providing information about the change; teaching the skills required of the innovation; developing positive attitudes about use of the new program; holding workshops; modeling and demonstrating innovation use; and clarifying misconceptions about the program or practice. With this Function, the interventions are formal, organized, and scheduled, that is, provided as large-group learning sessions. Professional learning interventions at the individual and small-group levels are addressed in Function V below.

It is important that learning and development be concerns-based and focused on the vision for the change. When implementers' current concerns are addressed, implementers gain the information and learn the skills necessary to use the new way well. Too often, professional development has been vague and off-target in relation to the current concerns of those out on the bridge. With a focus on the staff's concerns about its new program and practices, and on the vision of what the change will look like in operation, investing in professional learning will pay large dividends.

### **Function IV: Checking Progress**

Because change does not happen overnight, the process must be continuously assessed and monitored. Even though a clear articulation of the change has been expressed and material and human resources have been provided, the change journey is not without its bumps and

detours. A significant set of facilitator interventions should focus on keeping a hand on the pulse of change. One-Legged Interviews are an excellent way to check with implementers to identify emerging needs, clarify questions, and solve small problems. Not only does this enable the facilitator to assess progress, it also signals continuing interest to the implementers that their efforts are worthy of notice and support.

Decision makers and regulatory agencies have always known that what is measured or monitored is given more attention. A change effort will be given more attention if facilitators continually check on how implementation is progressing.

More often than not, the change effort is lost when the leaders fail to routinely check on progress. Important checking actions include gathering data about the concerns of each implementer; collecting information about the developing knowledge and skills of implementers; collecting feedback at the end of workshops and providing feedback on the feedback; talking informally with users about their progress; and, at regular intervals, systematically measuring, analyzing, and interpreting SoC, LoU, and IC (see Chapters 3, 4, and 5). It is important that data collected about implementation be analyzed, carefully interpreted, and used to guide subsequent interventions.

### **Function V: Providing Continuous Assistance**

Assisting is directly coupled with assessing, as discussed earlier. When concerns, needs, and problems are identified, a response is required that resolves the issue. Assistance may take the form of supplying additional materials that address a mechanical use problem, providing formal or informal learning activities that address Impact concerns, teaming with implementers to demonstrate refinements, and peer observations. It makes sense to assess progress in order to identify needs and then to provide assistance to respond to the needs. This coupling of *assessing* and *assisting* is labeled *coaching*, *consulting*, or *follow-up* and typically occurs with individuals or very small groups of implementers. These are crucial interventions.

A very important assisting action is to stop by and simply ask, “How’s it going?” Additional actions include responding to individuals’ questions and confusions, encouraging individuals in their use of the innovation, assisting single and small-group implementers in problem solving, providing follow-up and technical assistance, conducting quick conversations about the implementers’ use and reinforcing what they are doing, and celebrating successes both small and large, publicly and privately.

The importance of the coaching role should not be underemphasized. We have observed repeatedly that when an expert coach, such as a master teacher, has assigned time (several days each week) to coach implementers, Task concerns (i.e., Stage 3 Management) do not become intense. In other words, during the first year(s) of implementation, the typical wave motion of high Task concerns can be reduced (see Chapter 4) when coaching is provided.

### **Function VI: Creating a Context Supportive of Change**

Increased attention is currently being paid to the context, climate, and/or culture of the school and district and how these factors influence the workplace and, subsequently, how

professionals respond to change initiatives. For example, Boyd (1992b), in a review of the literature on context that supports or inhibits change, defined two components of context. One is the *physical*, or nonorganic, aspects of an organization: its building facilities, schedules, policies, and the like. The second component is the *people* element: the beliefs and values held by the members and the norms that guide their behavior, relationships, attitudes, and so on. Although the context is identified by its two parts, the parts are interactive and influence each other. For example, a small faculty in a small facility (but one with an available meeting space) will find it much easier to come together to interact and build trust than would a much larger faculty spread over multiple buildings. A supportive context decreases the isolation of the staff; provides for the continuing increase of its capabilities; nurtures positive relationships among all the staff, students, and parents/community members; and urges the unceasing quest for increased effectiveness so that students benefit. (For further discussion of the characteristics of a supportive context for change, see Chapter 7.)

In such a context the participants value change as a means for improving their effectiveness and seek changes in order to improve their practice. Boyd (1992a) reports that school leaders can take actions, such as those listed in Table 2.4, to create this context.

In summary, the six Functions of interventions provide a useful framework for developing the knowledge and organizing the skills that facilitators need to plan for change, monitor progress, and evaluate outcomes (see Table 2.5).



### REFLECTION QUESTIONS

**Have your experiences with change projects contained these six Functions? If any were omitted, did this omission have any effect on results? If so, how?**

**TABLE 2.4 Strategies to Use in Creating a Supportive Context (Boyd, 1992b)**

1. *Shaping the structural features of the context* by manipulating schedules and structures (such as faculty meetings) so that people can come together and share improvement ideas, by allocating resources to support the improvement effort, and by developing policies for enhancing staff capacity.
2. *Modeling* the behaviors and norms desired of the staff by interacting and cooperating in a significant way with all staff, by working with focus and commitment, and by being highly visible in the daily routines that they hope the staff will emulate.
3. *Teaching and coaching* by reading, studying, and subsequently sharing materials that will nurture and develop the staff's expertise; by attending professional development activities with the staff; and by attending conferences and sharing materials with the staff.
4. *Addressing conflict* by facing it rather than avoiding it, and thus using conflict as a vehicle to resolve disputes and build unity.
5. *Selecting, rewarding, and censuring staff* by recognizing their work publicly and privately, by inviting the staff to share their efforts and experiences related to improvement goals, and by insisting that staff commit to school goals through the selection and termination processes.

**TABLE 2.5 Implications of Interventions for Change Leaders and Facilitators**

- 
1. Successful implementation of new policies, programs, processes, practices, and even new personnel does not just happen.
  2. Assuming that simply announcing such changes is sufficient (nearly all of the time) leads to little or no implementation or, at best, very superficial implementation.
  3. Interventions both small and large can make the difference.
  4. Although principals and other leaders have been identified as change facilitators or significant suppliers of interventions, others also take many of these actions. Whoever assumes the role and responsibilities—whether they are teachers, parents, central office personnel, community members, or others—can and does provide change process–related interventions.
  5. Many types of interventions must be provided to ensure the success of change. The most effective facilitators acquaint themselves with and use their knowledge of interventions in planning, monitoring, and assisting their organization’s efforts to change and improve.
  6. Because change is accomplished at the individual level, facilitators need to use diagnostic tools for shaping the interventions supplied to individuals as well as providing groups with the array of interventions necessary to ensure each implementer’s success. At the same time, other interventions need to be targeted toward the whole organization or system.
  7. Since *learning* new information, skills, and behaviors is at the heart of any change project, facilitators would do well to keep this basic premise in mind as they consider, design, and deliver the interventions necessary for change process success.
- 

## ADDITIONAL KINDS OF INTERVENTIONS

Four of the six basic intervention types discussed—planning and providing resources (developing supportive organizational arrangements), investing in professional learning (training), checking on progress (monitoring and evaluation), and providing continuous assistance (providing consultation and reinforcement)—accounted for the majority of interventions identified in earlier CBAM studies; the original CBAM names are shown in parentheses (Hall & Hord, 1984, 1987; Hord & Huling-Austin, 1986; Hord et al., 2004). Two of the six categories of interventions—developing a shared vision of the change and creating a context for change—were identified by Hord (1992a).

The CBAM studies revealed two additional components that are less frequently given attention but are quite important in change efforts, especially for larger systems: communicating externally and disseminating information. We examine the importance of these interventions next.

### Communicating Externally

An important but often neglected set of interventions are those actions taken to keep individuals and groups external to the implementation site informed about what is happening. To gain their support or approval, these groups need to be informed by the on-site participants. One of the quotes at the beginning of this chapter reports that the change effort on interdisciplinary curriculum is going well and that a report on progress will be made to the board. It is easy to understand the politically and economically astute reasons for communicating externally to such an influential group, but too often too little is done, or it is done too late.

Activities related to this category of interventions include describing the change, its purpose, and its benefits to those outside the current adopting organization; not only having a Web site but keeping it up to date; and making presentations at various district and community meetings. At the local level, external communications could include keeping the external members of the site council and the PTO/PTA informed about progress and setbacks, informing all possible constituents about progress, and developing a campaign to gain the support of the public and other relevant groups.

### Disseminating Information

Efforts to share information about the new program or practice, and to let others know of its value and positive impact with the intention of persuading them to adopt the program, are dissemination interventions. These interventions are important first steps in “going to scale.” In broadcasting the virtues of the innovation, broader support and influence may be gained as well, but in this category the primary intent is to inform prospective adopters from other sites.

To accomplish the purpose of this category, the facilitators engage in various activities, including e-mailing descriptive information to external persons, colleagues, friends, and others who might be interested; making presentations at regional and national meetings; encouraging others to adopt the innovation by reporting its benefits; making large-group presentations about the innovation to potential adopters; providing free sample materials; and training expert colleagues to represent the innovation.

Note that it is not necessary to do disseminating interventions in order to have change success at the home site. As a matter of fact, spending too much time on disseminating, especially early in implementation, can be a distraction and draw needed energy and resources away from the project. Early dissemination also runs the risk of appearing premature, since everything may not work out as expected. Four or 5 years into a change process can be an excellent time to begin disseminating actions, for at this point those actions can serve to reward and expand the perspectives of successful implementers while increasing visibility for all.



### REFLECTION QUESTIONS

**Imagine that you are assigned the task of communicating externally about your change effort. Who would you target for this purpose? What might your talking points be? How would you know if you have been successful?**



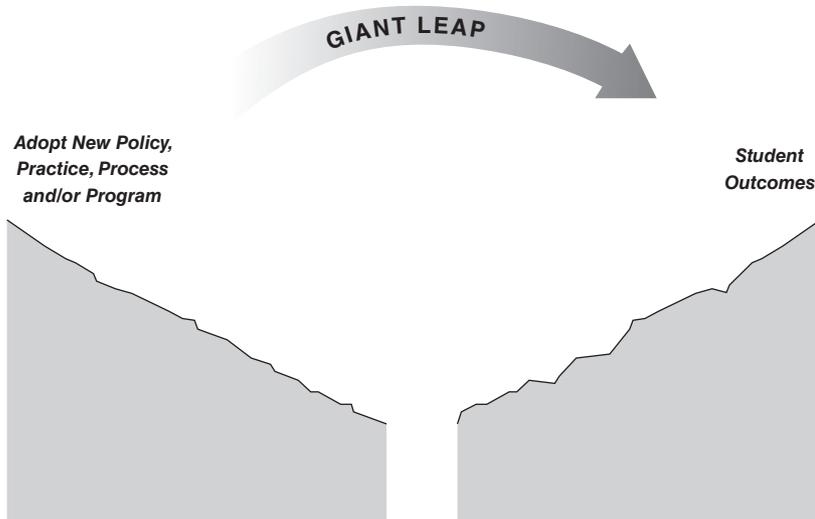
### EAST LAKE SCHOOL DISTRICT'S STORY: DEVELOPING THE INTERVENTION GAME PLAN

#### EAST LAKE USES THE “BRIDGE” TO CONSIDER ITS INTERVENTION GAME PLAN . . .

Superintendent Mike Johnson had been considerably disconcerted by the events of the first days chapter (Chapter 1) of East Lake’s story. However, he was greatly pleased by the district’s and school administrative staff’s attending to the challenges before them, and making a careful and deliberate decision. Further, he congratulated himself again for having brought Leslie on board as the assistant superintendent. She and he would spend the next half day creating the agenda for the stakeholders

*(continued)*

## EAST LAKE SCHOOL DISTRICT'S STORY (CONTINUED)



**FIGURE 2.2**

meeting, and he would deputize her to create a small committee to produce the first draft of an Implementation Game Plan.

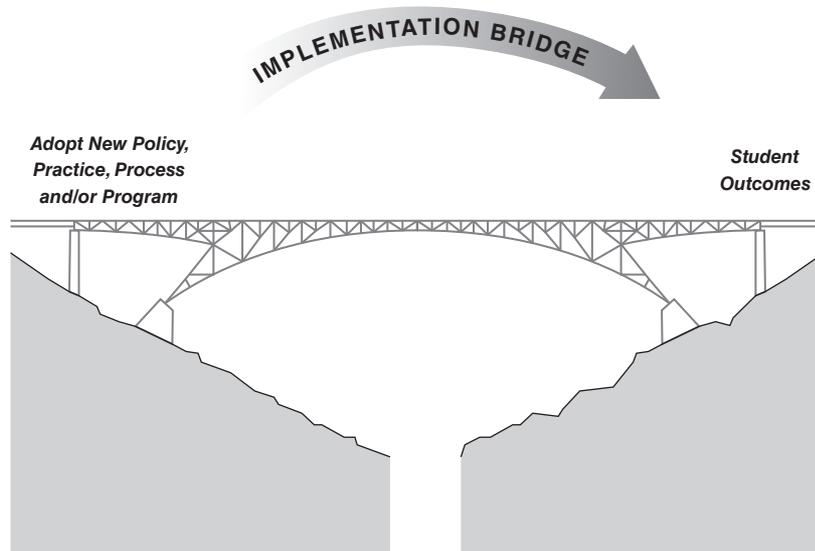
As Mike reviewed the Change Principles provided by Leslie, his attention was caught by Principle 4 and the eye-catching graphic of the Giant Leap (Figure 1.2). Mike admitted to himself that he and the district had been guilty of the message of the graphic. There were times when the district had adopted new programs and policies without providing appropriate and ongoing support for the staff in order to assure that the new programs would be fully implemented. This explained to Mike why little improvement in student results had been accomplished after taking on these new programs and their practices. He assumed that Leslie and her team would not let that happen this time.

Ten days later, Leslie and her team invited Mike to an “unveiling” meeting to share with him their ideas and the intervention plan they had drafted, which would be used with all the stakeholders of the district. Consideration was given to addressing all individuals who would be involved with the standards-based mathematics program priority, including interested parents and community members. At their first meeting, Leslie had shared a new set of ideas with the Implementation Game Plan Committee—a paper from one of her recent grad-level courses that focused directly on the actions required to enable implementation and to subsequently achieve change process success. She and the committee were very enthusiastic about their use of the paper’s messages and the plan that they had sketched out.

Leslie explained to the game plan committee that they were utilizing the work of researchers who had identified six “Functions” necessary for successful implementation. She noted that the committee had been noticeably impressed with the Giant Leap graphic in their Change Principles material, and that they had found the “Implementation Bridge” metaphor to be a very persuasive way to think about putting the newly defined mathematics curriculum in place in the schools.

“Thus,” she said to Mike, “we have crafted our plan and its explanation through use of the Implementation Bridge. If you will, please, Inez [Island Park principal], manage the PowerPoint for our presentation.”

## EAST LAKE SCHOOL DISTRICT'S STORY (CONTINUED)



**FIGURE 2.3**

The Giant Leap was flashed on the screen.

“What you see here,” Leslie explained, “is the first step in the implementation process: the determination of *what* is the new program, process, or practice that we will use to improve our students’ mathematical reasoning, critical thinking, and problem-solving skills. But you will notice that the new practices and the students are woefully unconnected—thus, the Giant Leap to get over the chasm that separates the two entities. It is sad to say that there are more than one or two schools, districts, and additional educational and other organizations that assume that the introduction of a new program somehow automatically produces new outcomes.

“There is an old American saying, ‘You can’t cross 20 feet in two big jumps’—another foolish assumption. Or if you do so, it is at your peril. So, what to do?

“There needs to be a bridge for crossing the chasm, and although it is named the Implementation Bridge, it gives no indication about what it is or how to implement the new program or move it to the students. But in the next slide, important new elements are introduced:

“The school’s principal and teachers are now in the picture, although their simple existence cannot promise implementation success. But we now know that there is a program to be taken on board and that our educators have a role to play that will target students. Still, how to get the program across the bridge? Of course, you knew we had an answer; please show the next slide.

“We now have our six research-tested Intervention Game Plan Functions, labeled by most change facilitators as strategies. These constitute a heavy load on the bridge, but they serve as the heart and muscle for reaching successful change. Let us look at these six Functions/Strategies to see how they will carry the new program across the bridge to the principals and teachers, and through them, subsequently, to students.”

*(continued)*

## EAST LAKE SCHOOL DISTRICT'S STORY (CONTINUED)

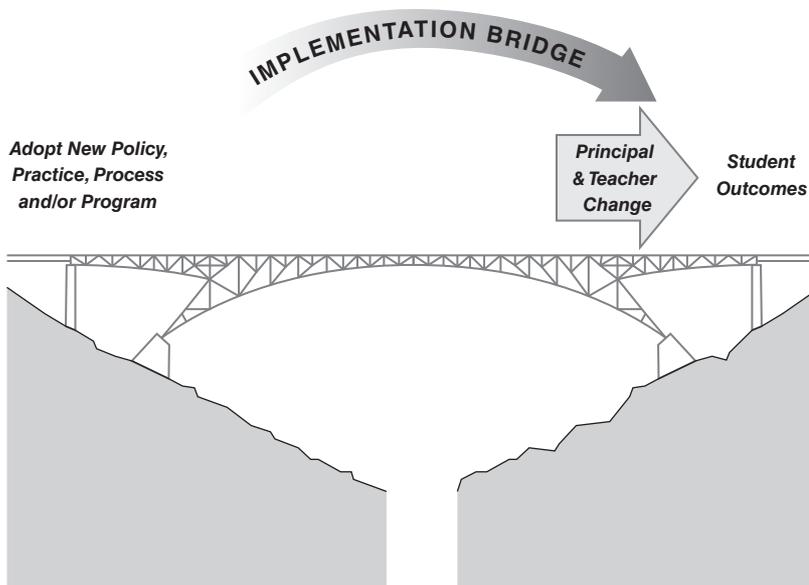


FIGURE 2.4

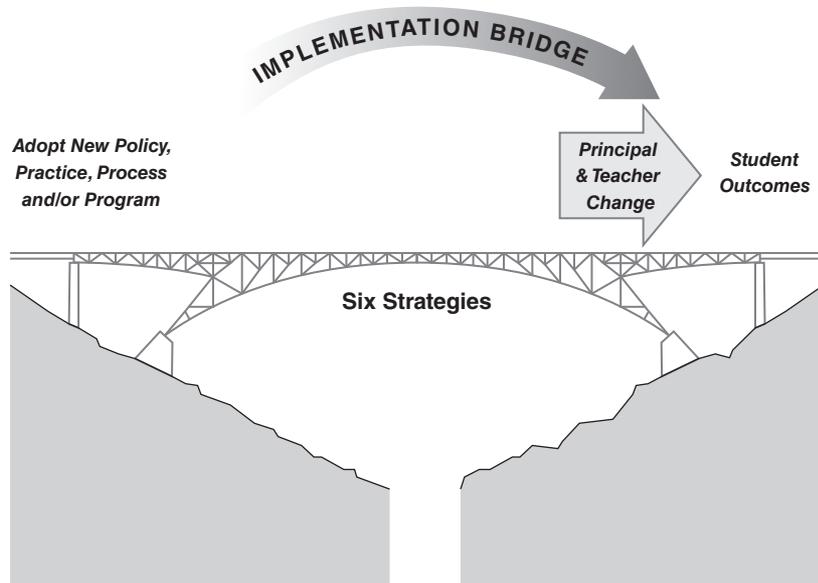
### FUNCTION VI: CREATE A CONTEXT SUPPORTIVE OF CHANGE

“This strategy (that we have identified as Function VI and placed at the end of the list of Functions) demands a multitude of activities. Ideally, this Function should not have to be addressed at the beginning of a change effort. Such a context should already have been a permanent part of the climate/culture of the schools and district. If such a context does not exist, a few ideas for generating this positive climate are to use actions that allow for relationship building, such as making clear to the implementers that they are doing important work; developing trust between and among all the individuals doing the implementation; and recognizing and applauding the efforts of each person who is giving time, attention, and energy to the school’s efforts to improve. When things fail or go wrong, help individuals to see it as an opportunity for learning, changing, and trying again.”

Superintendent Mike was listening closely to these ideas, for he recognized their importance in the workplace. When individuals have the opportunity to learn and grow in an atmosphere of mutual trust and respect, the challenging work of implementing new practices is diminished. Mike started thinking that he must be a cheerleader, coach, and champion of all the “troops,” especially as they head into the fray of change.

### FUNCTION I: DEVELOP A SHARED VISION

Working on the context is never finished, but an initial strategy directed at the implementation of the new mathematics curriculum, or any new practice and imperative for any successful change, is to create a precisely clear mental image of the change as it is expected to appear after its high-quality

**EAST LAKE SCHOOL DISTRICT'S STORY (CONTINUED)****FIGURE 2.5**

implementation. This provides the target for the implementers' work, and the tool that we recommend is the Innovation Configuration Map (see Chapter 3) that indicates in action language what an observer would see in classrooms when the innovation (in this story, a very innovative way of approaching teaching and learning of mathematics) is in use.

"Excuse me, Leslie, could I ask a question?" queried Martin Chin, the new instructional coach at the high school.

"Of course," Leslie replied.

"I am already lost. Does everyone else know about this configuration thing?"

"No, Martin, we will all be engaging in a great deal of learning—how to think differently and learn about new tools and techniques to use as we implement our new program. We will all be learning together, and that will be incredibly exciting—I promise!"

**FUNCTION II: PLAN AND PROVIDE RESOURCES**

"Because we will be very explicit about our vision of our change, we can use that for planning for the implementation; we can also, for the same reason, be able to identify our needs, such as time, space, materials, and human resources. We may determine that we will benefit from engaging a consultant to help us learn, or we may travel a short distance to see this curriculum in action in another school. The important thing is that our vision text will enable us to be fairly clear and comprehensive about creating our plan and for listing our resources to use the plan."

*(continued)*

**EAST LAKE SCHOOL DISTRICT'S STORY (CONTINUED)****FUNCTION III: INVEST IN LEARNING**

“In the materials that we are studying and using to help us with implementation, we have heard several times that learning is the basis for change. So, the term *invest* is interesting. Why would we use the idea of investing related to learning?”

Ray Raulson raised his hand. “Well, I watch the stock market at times, and occasionally I put some money into some stocks—that is, I invest it, with the hope that I will get a big return on my investment. I’m not sure what it means to ‘invest in learning,’ unless it suggests that investing in our learning and that of others will pay some dividends.”

“I think you nailed it, Ray. Since learning is the key to the success of the change process, we will be learning a great deal about the new math—what it is and how to use it. That will require a big investment of time and commitment in order to maintain continuous learning about it. But we can be assured that it will pay off in our new knowledge and skills in teaching math. And notice again that the principal and teacher are the factors that most immediately impact students. All our educators must be excellent learners of the new program in order to use it well with students.”

**FUNCTION IV: CHECK ON PROGRESS**

“Probably the most ignored strategy of the six is this one—checking on progress. If we assume that when a change has been offered and a day-or-two-long ‘workshop’ has been provided, implementation will proceed, we have defeated ourselves at the outset,” Inez shared with her neighbor.

“It has often been said,” her colleague reported, “that what gets monitored gets done. While we hate to acknowledge this, it certainly holds some merit. So, how do we do this monitoring?”

A major purpose of the concepts and tools of the Concerns-Based Adoption Model (CBAM) is to serve this precise purpose. Change leaders and facilitators must be keenly aware of the progress that is being made and where each individual is in the process.

“So, Leslie, are you saying that we will be ‘snooping’ around to watch what our staff is doing?” asked high school principal Michael Major. “We’ve never done this before and I am now worrying about how this will go over with the staff that has been working quite independently.”

“That is a good point, Mike; we have some suggestions and we will explain very openly about how the checking progress will be done, and how the staff will collaborate in assessing where they are with implementing the new program. And we will describe to all staff how checking progress connects with this Function/Strategy.”

**FUNCTION V: PROVIDE CONTINUOUS ASSISTANCE**

“Coaches who assist and support star athletes (even famous standout golfers, for example) engage in the follow-up work of supplying continuous support to individuals and groups, based on the assessments of how it is going. The combination of checking on progress and providing assistance is essentially the role of instructional coaches in schools. The dual actions of checking or assessing progress and giving assistance based on the assessment are the key to a successfully implemented innovation. This role is imperative, and it deserves to be introduced to our staff in such a way that they recognize its helpful benefits and its value.

“We will plan this introduction to the staff very carefully, and we expect that the principal of each school will be fully involved in this introduction and, as their time permits, their engagement in developing the skills to check progress and couple that with appropriate feedback and continuous assistance. In this way each staff member can develop the knowledge and skills for implementing this innovation. But we have one more significant figure to share and explain.

## EAST LAKE SCHOOL DISTRICT'S STORY (CONTINUED)

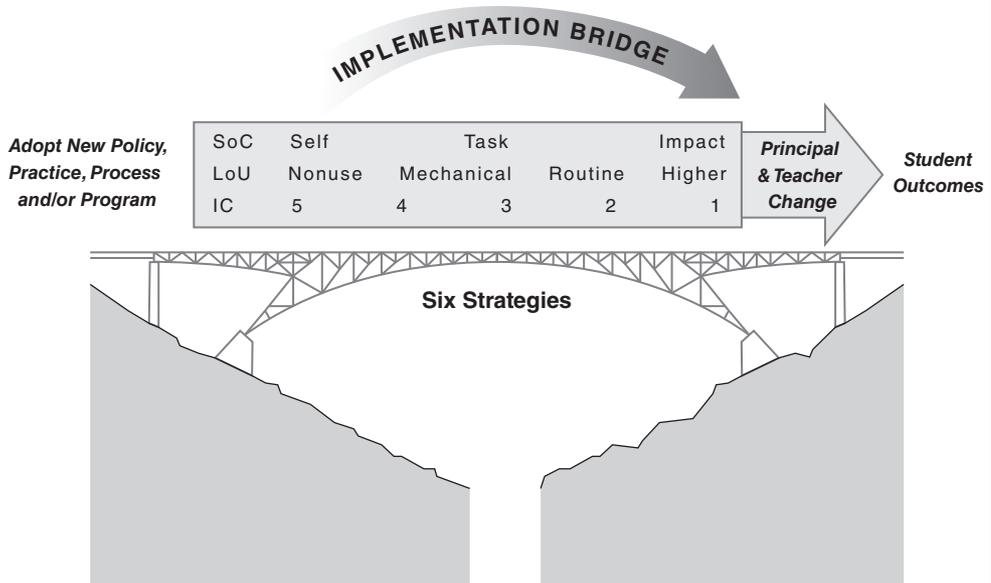


FIGURE 2.6

“You now see another layer of the comprehensive approach that we will take to address implementation. The six strategies are important for moving the new program across the bridge, but in order for the strategies to work well, we will use several diagnostic tools that will help us in crafting the strategies for their greatest support and impact on our implementation process. One of the tools shown on the top line in the box is Stages of Concern (SoC), which we will learn about in Chapter 4 of this book which is guiding our work for implementing our new curriculum. The middle line in the box represents Levels of Use (LoU), which is the focus of attention in Chapter 5, and the bottom line reflects Innovation Configurations (IC), featured in Chapter 3.

We will use this volume in a book study. We can use its research-based concepts and tools to assess implementation and support and guide our work. It will help us to personalize our work with all who are involved in implementation, so that this process is successful and our students benefit from the new knowledge and skills of our principals and teachers. We will take measured steps and sufficient time for everyone to learn the new mathematics curriculum and how to use it, so as not to rush pell-mell and fall off the bridge. We are ready to engage in this work with you. We are committing the next three years to steady and focused work so that each of us, as good learners, can become successfully prepared to use the new curriculum for the benefit of our students. Now, we have reserved 30 minutes for a question-and-answer period after we have a break and a small snack.”

Needless to say, after this carefully planned and creatively presented session, to decompress Leslie had a long, soaking bath with fragrant oils and a glass of white wine the moment she reached her home that evening.

(continued)

## EAST LAKE SCHOOL DISTRICT'S STORY (CONTINUED)

### CRITIQUE QUESTIONS FOR EAST LAKE'S STORY

1. In what ways do the story and figures support your understanding of the vital need for planning by developing an Intervention Game Plan? How could the slides be used to analyze the status of the already-introduced innovations?
2. Change leaders/facilitators all too often assume, or don't have the requisite knowledge and skills to assess, their clients' capacity to implement innovative processes and practices. To what extent will Leslie's presentation help the mostly inexperienced school and district administrators to understand the needs of their teaching colleagues for appropriate interventions to support their change efforts?
3. Can the "lessons" of this story be used to explain to parent and community groups about the time and resources needed for implementing new programs that will promote students' increasing success in the academic subjects? How might it be tailored for them?

### SIZES OF INTERVENTIONS

In our extensive longitudinal research studies, it became clear that interventions come in different sizes. Some interventions take years to unfold, while others are over in minutes. Some interventions affect everyone, while others affect only one person. Our ideas about the different sizes of interventions were introduced and described in an Intervention Taxonomy (Hall & Hord, 1984). Brief descriptions of this part of our intervention framework are presented next and summarized in Table 2.6. Although these were developed for research purposes, many experienced change facilitators have found them to be instructive and useful.

#### Policies

Since they affect the whole organization/system and exist typically for an extended amount of time (years), the policies of an organization must be taken into account when planning for change or when studying a planned change project. Policies that have long been in place, as well as new ones, can affect a change initiative. For example, a long-standing policy could include contract specifications that restrict staff development to the school day. This then becomes an intervention that affects having after-school sessions to support implementation

**TABLE 2.6 The Relative Size of Interventions**

*Policies:* Decisions that affect the whole organization for an extended period

*Game Plan Components:* Major functional groupings of interventions

*Strategies:* Interventions that operationalize the Game Plan Components into actions

*Tactics:* Sets of small actions that compose the Strategies

*Incidents:* Brief in-time actions that focus on one or a few users or nonusers, and that may or may not add up to Tactics

of a new program. Or there may be a policy that prohibits staff development during the school day, thus requiring its scheduling for after the formal school hours, with stipends being paid to the teachers who participate. Such overarching policies can have significant and far-reaching influence on a change process. Facilitators ignore them at their risk.



### REFLECTION QUESTIONS

**Have you considered how policies from the federal, state, and district levels can impact implementation? Have you had the experience with ignoring a policy that later resulted in a problem for the change effort? How could this have been avoided? What do you do now?**

### GAME PLAN COMPONENTS

Previously in this chapter, the large clustering of interventions was referred to as “Functions.” Our original thinking had been to use the metaphor of the coach who prepares an overall plan ahead of the game. Within the game plan are various “plays” and strategies anticipating what will be done on offense and defense. Just as with a coach, we believe that as the game (of change) unfolds, leaders need to make adjustments in their Intervention Game Plan. We have changed the name of the major intervention groupings from “Game Plan Components” to “Functions.” This name change places more emphasis on the purpose of each intervention grouping. With either term, Functions or Game Plan Components, the message is to think about the big picture and then to plan interventions within each grouping. Each Function/Component is composed of a variety of interventions. One way to sort all of these interventions is by size. Larger interventions can take years to fully unfold. Very small interventions can be over in minutes.

### Strategies

Strategies, in our research nomenclature, are an accumulation of smaller interventions that over time accomplish specific change process objectives. They can be thought of as the sets of interventions that operationalize a particular Game Plan Component/Function. Strategies impact a large number of implementers and take long periods of time. For example, under the Game Plan Component of Monitoring and Evaluation (also known as Checking Progress), the Strategy of one principal, who was closely guiding and supporting change in his school, was to collect samples of students’ work every Friday. While collecting the samples, the principal talked with each teacher and was able to assess students’ work. This was done with half the staff each Friday, so that over the course of two weeks, all students’ work and all classroom teachers were involved in Checking Progress. This Strategy led to another Strategy, Providing Consultation and Reinforcement (Providing Assistance). Subsequent to Checking Progress, the need for Providing Assistance was clear—help was needed for the teachers in working with those students whose work indicated low performance. These Strategies mutually informed the teachers about additional possibilities for student work and reinforced and/or encouraged various teachers and students in their use of the innovation.

## Tactics

This intervention is defined as a set of small, interrelated actions. A day-long workshop would be a Tactic that is part of the Strategy of “Designing and Providing Training” sessions across the first year of implementation. The Strategy is, in turn, part of the Game Plan Component/Function of Training.

Other examples of Tactics are visiting each implementer in his or her classroom over a three-day period to solicit concerns about training sessions for the new computers, and scheduling a consultant to be in the school for a week to provide technical assistance to any teacher who indicates interest.

## Incidents

We have learned with certainty how significant the small and more individualized interventions known as Incidents are. They are short in duration, focus typically on one or just a few implementers, and mostly occur informally. This is not to say that they are unplanned, for they are so powerful that they should be on the mind of every facilitator. It is in these little day-to-day, moment-to-moment actions (which frequently take the form of the One-Legged Interview described in Chapter 1) that the change effort is most frequently won or, unfortunately, lost. We have observed repeatedly in schools and other types of organizations that where there are significantly more Incident interventions there is significantly greater implementation success due to this personalized help and support. Opportunities are abundant for enacting Incident interventions, such as the following:

- When meeting a user or nonuser in the hallway, the facilitator can offer comments to support his or her hard work with the innovation or to increase his or her interest in learning about it.
- At the staff mailbox, the facilitator can share requested information with the person who is early into use of a new program.
- Crossing the parking lot to go home, three teachers share examples of what their students have been doing.
- In the staff lounge, the facilitator shares a brochure about forthcoming professional development sessions.

The effective facilitator uses these small interactions to “check on progress” and also as an opportunity to provide customized encouragement and assistance. If the change process planners or policy makers think only of the Tactic of workshops as the key interventions for a change effort, the implementers will be shortchanged. Incident interventions are the building blocks that make Tactics, which combine to make Strategies, which in combination come to represent each Game Plan Component/Function. It is in these one-to-one interventions that individuals and small groups have many of their more idiosyncratic—yet vastly important—concerns given attention. As the title of the classic song says, “Little Things Mean a Lot.”



### ***Pothole Warning***

*So, you have assumed that giving the change effort participants the guide and materials, as well as sending them to a day-and-a-half large-group learning session, has prepared them to adopt and implement the new curriculum. And*

*you now are surprised when you visit classrooms to find the new materials stashed at the bottom of shelves or unopened on the back-of-the-room worktable. Alas!*

### ***Pothole Repair***

*Recruit several teacher leaders, provide them a crash course in facilitating change, and engage them in conducting One-Legged Interviews to learn where the staff are in terms of implementation. Identify those who have managed to begin implementation and invite their assistance in helping buddy teachers to get started. Then reserve time with your teacher leaders to plan a set of Incident- and Tactic-level interventions to support the staff in learning how to use the new curriculum and to begin its use. You might also reread the previous section on the six Game Plan Components/Functions. Which ones have not been emphasized enough?*

## **THE ANATOMY OF INTERVENTIONS**

An even more specific analysis of interventions can be done. The framework for this was developed with our colleagues to quantify the internal elements of interventions. Since this framework is a way to examine the internal parts of interventions, we call it the Anatomy of Interventions (Hall & Hord, 1987). This is a framework for analysis of the Source, Target, Function, Medium, Flow, and Location of each intervention (see Table 2.7).

Such an analysis and coding of interventions across time makes it possible to ascertain who is providing intervention actions to whom, for what purpose, how, and when. Thus, redundancies and gaps may be identified and corrections taken so that all persons involved receive the supportive interventions that are needed. This type of analysis also becomes documentation of who is doing more and of what types of interventions are being used.

The Source of an intervention is the person who is initiating the action, and the Target is the person (or persons) who receives the action. In our studies, it is clear that principals and others in a leadership role are the most frequent Sources of interventions. SoC, LoU, and IC, which we will learn about in the next several chapters, provide diagnostic data that are useful in designing interventions that will be relevant and effective for each Target. Function is the purpose of the action and, interestingly, an intervention can have multiple Functions, which can be quite useful.

Documenting the Source, Target, and Function of a sample of interventions can reveal important information about who is being given attention in a change effort, by whom, and for what purpose. Redundancies (which do not occur very often) and gaps in the provision of intervention actions may be revealed also. For research purposes, these three subparts—along

**TABLE 2.7 Internal Elements of Incident Interventions**

---

*Source:* Person(s) providing the action

*Target:* Person(s) receiving the action

*Function:* Purpose of the action

*Medium:* Means by which the intervention is delivered (telephone, face-to-face, etc.)

*Flow:* Directionality of the intervention action (one-way, interactive, etc.)

*Location:* Where the action took place

---

with Medium, Flow, and Location—may be coded using a set of carefully defined codes and coding rules. (See Hall and Hord, 1987, for additional information.)



### REFLECTION QUESTIONS

**When might you use the Anatomy of Interventions in a change project? How would you apply this tool in your project?**

### Using Another Change Construct to Generate Interventions

Thinking about interventions in general and the Functions of interventions most certainly is important. An expanded approach would be to use one or more of the many other research-based change constructs as a heuristic. For example, the construct of Innovation Configurations, which will be introduced in Chapter 3, provides a very important diagnostic base for constructing interventions. As implementers move across the bridge, interventions are needed to facilitate their achieving fidelity in using the innovation. Beginning examples of how these ideas can be interrelated to identify interventions is presented in Table 2.8. Combining implementation assessment information about current practice with the Functions of interventions can be a very powerful approach to facilitating change.

**TABLE 2.8 Using an Innovation Configuration Map to Generate Interventions**

1. The six Functions of interventions provide a practical framework facilitators can use in supporting and guiding change initiatives. These are the “sacred six” kinds of actions demanded for the success of change projects.
2. An interesting way of generating specific interventions for each Function is to employ an Innovation Configuration Map as a guide (Chapter 3). Function I is the articulation of a shared vision of the intended change when it is implemented in a high-quality way. The IC Map is the written product that represents the creation of a shared vision of the change. When this IC Map is completed, it can be used for designing the Function II interventions: Planning and Providing Resources. The map indicates the desired outcomes—what actions are taking place in the innovation’s setting—and is the point of reference for making an action plan to reach those desired outcomes. It can also be referenced to determine fiscal and human resources needed to reach the desired outcomes, or the vision of the change.
3. Referring to the IC Map provides clarity for identifying professional development for staff (Function III) needed to reach the actions delineated on the map. Professional developers use the map to target critical components that require knowledge and skill development. But that is not the end of the change process, though many seem to believe that if initial training is provided the process is complete—which is not true.
4. An IC Map can be used with Function IV, Checking Progress. The facilitator uses the map to ascertain where each individual is in the change effort. Then Function V, Providing Continuous Assistance, may be planned for coaching implementers in moving closer to the Ideal Variation of each Component on the map.
5. An IC Map may not directly address Function VI, Creating a Context Supportive of Change. But a map of such a context for change could be produced to guide the facilitator in designing interventions to enable the creation of a more supportive context in the organization.

## SUMMARY

The concepts and actions (interventions) described in this chapter were created and designed with change facilitators in mind. To share these ideas briefly with others, these talking points can be used:

1. It is imperative that leaders of change efforts become aware of the role of interventions in implementing change.
2. In those change processes that are supported by statistically significant, more innovation-related Incident interventions, teachers have greater implementation success.
3. Interventions have been sorted into six Functions that can be used in planning for and monitoring change initiatives.
4. Initiating effective interventions should be ongoing. Without continuing facilitating actions, many members of an organization work in isolation and fail to develop full use of the innovation. As we admonish in our workshops, “Change facilitators, *do* something.”

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## DISCUSSION QUESTIONS

1. What preparation relative to interventions should be provided to a person who will serve as a change facilitator? Would your prescription be different if the facilitator were based at the school, district, or state level?
2. What length of time should be considered in developing the Intervention Game Plan for implementing a transformational change such as changing from a teacher-centered to a learner-centered approach? Which Functions will require more time and effort?
3. How might the song title “Little Things Mean a Lot” apply to interventions?
4. How might a campus-based practitioner, a state policy maker, or a researcher employ the information on interventions in this chapter?
5. Which of this chapter’s intervention concepts are most applicable to the corporate world or private sector?

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## APPLYING THE INTERVENTION IDEAS IN FACILITATING IMPLEMENTATION

1. Obtain a school/district improvement plan or a strategic plan for another organization. Which intervention Functions are addressed, and which are absent? Based on the plan, what is our prediction about the likely degree of implementation success?
2. Develop a plan for making a presentation to a school board using the six basic Functions of interventions as a framework. Make your story that each type of Function needs attention and resources in order to further advance a particular change process.
3. Develop a plan of interventions to be supplied to a school or business whose staff will be implementing a complex innovation. Be as thorough and comprehensive as possible, identifying key strategies within each Game Plan Component/Function and examples of relevant Incidents.

## APPLYING INTERVENTIONS IN RESEARCH OR PROGRAM EVALUATION STUDIES

1. For 1 month, document all the interventions provided for implementation of a priority innovation in one organization. Use the Anatomy of Interventions to analyze the interventions in terms of their Source, Target, and Function. Share the results with the implementation facilitators. Then record their subsequent interventions to ascertain if they are acting in ways related to the study results.
2. Collect baseline data on the extent of implementation in two settings. Document the interventions provided to both settings. Analyze each setting's interventions in terms of Functions, Strategies, and Tactics. How does each Intervention Game Plan seem to relate to the extent of implementation? What would you recommend be done to increase implementation success?

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## LEARNING MORE ABOUT INTERVENTIONS

Folkman, J. (2006). *The power of feedback: 35 principles for turning feedback from others into personal and professional change*. Hoboken, NJ: Wiley.

Gawande, A. (2007). *Better: A surgeon's notes on performance*. New York: Picador.

Hargreaves, A., & Shirley, D. (2009). *The fourth way*. Thousand Oaks, CA: Corwin Press.

Hord, S. M., & Roussin, J. L. (2013). *Implementing change through learning: Concerns-based concepts, tools and strategies for guiding change*. Thousand Oaks, CA: Corwin Press.

Professional development focused on developing the knowledge base and skills of facilitators related to the six Intervention Functions is available as a three-day institute. For information about *Leadership for Changing Schools*, contact SEDL, Austin, Texas, 800.476.6861.

A leader's guide, videotapes, audiotapes, and copy for handouts and transparencies from the *Leadership for Changing Schools* institute is available as a stand-alone set of materials and activities. For information, contact SEDL, 800.476.6861.