

SCHOOL-BASED PROFESSIONAL LEARNING FOR IMPLEMENTING THE COMMON CORE

Unit 1: Managing Change





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Learning Forward's Transforming Professional Learning to Prepare College- and Career-Ready Students: Implementing the Common Core is a multidimensional initiative focused on developing a comprehensive system of professional learning that spans the distance from the statehouse to the classroom. The project will reform policy and practice and apply innovative technology solutions to support and enhance professional learning. With an immediate focus on implementing Common Core State Standards and new assessments, the initiative provides resources and tools to assist states, districts, and schools in providing professional learning for current and future education reforms.

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Managing Change

Managing change

This unit focuses on how and why individuals change their practice. By understanding change and the process of change, and helping others understand, facilitators can better support adult learners in reaching the goal of improving their own instruction to improve student achievement.

This unit is particularly relevant for school leadership teams, principals, and teacher leaders who are responsible for planning, implementing, monitoring, and evaluating change initiatives within the school. It also is helpful to those responding to staff members' concerns, challenges, feelings, reactions, or requests for support as they implement changes.

Table of contents

Learning objectives	iv
Overview	v
Background reading	vi
Facilitator's agenda	vii
Section 1	
Handout 1.1: Learning objectives	1
Handout 1.2: Agenda	2
Handout 1.3: Agreements	3
Section 2	
Handout 2.1: Save the last word for me	4
Handout 2.2: The emperor has no clothes	5
Section 3	
Handout 3.1: Phases of the change process	19
Section 4	
Handout 4.1: Making the leap: Leadership, learning, and successful program implementation	22
Handout 4.2: Skill improvement	28
Section 5	
Handout 5.1: A measure of concern	29
Handout 5.2: Four A's text protocol	33
Handout 5.3: Four A's protocol note-taking form	34
Section 6	
Handout 6.1: 4 key strategies help educators overcome resistance to change	35
Handout 6.2: Say something protocol	39
Handout 6.3: 10 things to do about resistance	40
Section 7	
Handout 7.1: Reflection form	41

Learning objectives

Learners will be able to ...

1. Describe the three phases of the change process.
2. Explain how to apply six strategies for managing change within their schools or districts.
3. Use the Stages of Concern to plan for and provide differentiated support to those implementing new initiatives.
4. Identify and explain strategies for addressing resistance to change.

Overview

Adopting the Common Core State Standards is about change — changing curriculum, changing instruction, changing assessments, and changing teachers' role in the classroom.

Change is nothing new for educators. Education has been in the business of change for decades. In fact, research over the last century has focused on school and educator change: How and why do individual teachers change their practice? Why do adults change? And why do people resist change? These questions have been at the heart of educational research.

The research on change also has focused on the organizational level to identify the system's role in supporting changes in practice. To create consistent and sustained change, the system and its administrators are required to initiate, implement, and maintain the desired change for it to become common practice, and to create supportive conditions for others to do so.

Both organizational and individual change need continued study and support to ensure that they are fully implemented and lead to intended results. For example, new standards require that new curriculum, instruction, assessments, and learning occur in each classroom and for each student. Teachers implementing these changes in their classrooms requires that schools make comparable change to provide the support teachers need. For example, teachers need time in their schedules to meet with peers to plan needed curriculum changes. They also need instructional materials to support the instructional changes. When organizational changes are made to enhance individuals' implementation of change,

change is more likely to be fully implemented and sustained over time.

In one research-based program, the Concerns-Based Adoption Model (CBAM), scholars studied educator change and created sets of tools to help systems support educators throughout a change process. CBAM focused on concerns that teachers expressed while adopting new instructional practices and identified supports required for teachers to continuously improve the new practices. Innovation Configuration maps, a second CBAM tool, identify the essential components of new practices and define what the new practice is — and is not. CBAM researchers also created an interview process to help determine the level at which educators were implementing the new practice. This research has shown that when educators have ongoing help and assistance, they are more likely to adopt new practices.

Another focus of change research is resistance. Resistance is a natural part of the change process even though resistance can cause a range of emotions. Resistance can take many forms, from indifference to active sabotage. To support ongoing and continuous change, leaders and facilitators need to understand why resistance occurs and develop strategies to overcome resistance.

Change is difficult. Everyone in a community, district, and school is responsible for implementing some aspect of change in order to create a coherent, cohesive system that supports educators within the classroom and serves students. When those facilitating and engaging in change understand and apply knowledge, skills, and practices about how change affects people, how to plan effectively for success with change, and how to

support people responsible for implementing change, they are more likely to succeed in implementing new initiatives.

Background reading

Fullan, M. (2005, November). 10 do and don't assumptions about change. *The Learning Principal*, 1(3), 1, 6-7.

Janas, M. (1998, Summer). Shhhh, the dragon is asleep and its name is Resistance. *Journal of Staff Development*, 19(3), 13-16.

Killion, J. & Roy, P. (2009). *Becoming a learning school* (pp. 121-148). Oxford, OH: Learning Forward.

Roy, P. (2008, October). Navigate the fluctuating undercurrents of change. *The Learning System*, 4(2), 3.

Roy, P. (2008, October). What concerns do you have? *The Learning Principal*, 4(2), 3.

Von Frank, V. (2009, March). Competing values form obstacles to change. *The Learning System*, 4(6), 1, 6-7.

Learning Forward. (2006, November). What a school leader needs to know about the implementation dip. *The Learning Principal*, 2(3), 4.

Going deeper: Supplemental readings

Fullan, M. (2007). *The new meaning of educational change* (4th ed.). New York, NY: Teachers College Press.

Hall, G. & Hord, S. (2002). *Implementing change: Patterns, principles, and potholes*. Boston, MA: Allyn & Bacon.

Hord, S., Rutherford, W., Huling-Austin, L., & Hall, G. (2006). *Taking charge of change*. Austin, TX: SEDL.

Knight, J. (2009). What can we do about teacher resistance? *Phi Delta Kappan*, 90(7), 508-513.

Facilitator's agenda

TIME: 3 1/2 hours

SECTION	TIME	TOPIC	PURPOSE	STRATEGIES	MATERIALS
1	15 min.	Introduce unit, review agenda and learning objectives, seek agreement on working agreements, and build rationale for understanding and managing change	Prepare learners for the learning experience	<ul style="list-style-type: none"> • Present learning objectives • Review agenda • Set working agreements • Establish reason for learning about change 	<ul style="list-style-type: none"> • Handout 1.1 (Slide 2) • Handout 1.2 (Slide 3) • Handout 1.3 (Slide 4) • Slide 5
2	30 min.	Implementation is the goal	Help participants recognize that implementation does <i>not</i> just happen	<ul style="list-style-type: none"> • Read “The emperor has no clothes” individually • Use the Save the Last Word protocol 	<ul style="list-style-type: none"> • Slide 6 • Handout 2.1 (Slide 7) • Handout 2.2



SECTION	TIME	TOPIC	PURPOSE	STRATEGIES	MATERIALS
3	15 min.	Overview of the change process — initiation, implementation, institutionalization	Build the understanding that any new initiative will progress through stages, and different supports are needed at each stage	Present the phases of change	<ul style="list-style-type: none"> • Handout 3.1 (Slide 8)
4	40 min.	Six strategies for change and implementation dip	Define the six strategies that support improvement effort, according to Ed Tobia and Shirley Hord. Explain the implementation dip: Things may get worse before they get better as people grapple with the changes	Facilitate jigsaw on article	<ul style="list-style-type: none"> • Slide 9 • Handout 4.1 (Slide 10) • Handout 4.2 (Slide 11) • Chart paper



SECTION	TIME	TOPIC	PURPOSE	STRATEGIES	MATERIALS
5	50 min. (10 min. + 40 min.)	Providing assistance	Define differentiated assistance and support	<ul style="list-style-type: none"> Present the implementation dip Read “A measure of concern” about CBAM and discuss the article using the 4 A’s protocol 	<ul style="list-style-type: none"> Slide 12 Handout 5.1 Handout 5.2 Handout 5.3
6	45 min.	Resistance to change	Recognize that resistance is a natural part of the process. Discuss how to address resistance	<ul style="list-style-type: none"> Engage in individual sharing about “4 key strategies help educators overcome resistance to change” Discuss about individual barriers to implementation 	<ul style="list-style-type: none"> Slide 13 Handout 6.1 (Slide 14) Handout 6.2 (Slide 14) Handout 6.3 (Slide 15) Slide 16
7	15 min.	Close	<p>Review what was learned</p> <p>Plan for next steps</p>	<ul style="list-style-type: none"> Invite individual reflection Share with a partner or small group 	<ul style="list-style-type: none"> Handout 7.1 (Slide 17)

Participant Packet



Unit 1:

Managing Change





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4. Identify and explain strategies for addressing resistance to change.

Agenda

TIME: 3 1/2 hours

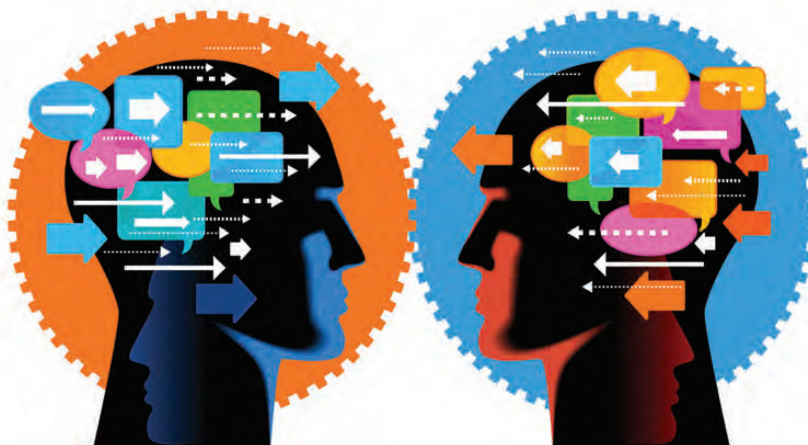
SECTION	TIME	TOPIC	PURPOSE
1	15 min.	Introduce unit, review agenda and learning objectives, seek agreement on working agreements, and build rationale for understanding and managing change	Prepare learners for the learning experience
2	30 min.	Implementation is the goal	Help participants recognize that implementation does <i>not</i> just happen
3	15 min.	Overview of the change process — initiation, implementation, institutionalization	Build the understanding that any new initiative will progress through stages, and different supports are needed at each stage
4	40 min.	Six strategies for change and implementation dip	Define the six strategies that support improvement effort, according to Ed Tobia and Shirley Hord. Explain the implementation dip: Things may get worse before they get better as people grapple with the changes
5	50 min. (10 min. + 40 min.)	Providing assistance	Define differentiated assistance and support
6	45 min.	Resistance to change	Recognize that resistance is a natural part of the process. Discuss how to address resistance
7	15 min.	Close	Review what was learned Plan for next steps



Agreements

- Ask questions.
- Engage fully.
- Contribute productively.
- Be open to new information and possibilities.
- Be open to diverse views.

Save the last word for me



PURPOSE: This protocol allows everyone to discuss a significant aspect of a text.

STEPS

1. Write a significant quote from the text on one side of an index card. The quote should resonate with the reader, perhaps stating an idea that the reader agrees with or strongly disagrees with.
2. On the other side of the card, explain the quote's significance.
3. One person at a time reads the quote and points to where in the text this quote can be found. The person does not explain its significance.
4. The rest of the group discusses the quote.
5. After a designated time, the discussion stops and the first person reads the back of the card or explains the significance of the quote. In other words, the last word is saved for the person who presented the quote.
6. Move on to the next person until everyone in the group has had a chance to have the last word.

Variation

If the group is large or time is short, have each person read the quote on the card even if the quote has previously been read. Do not have the group respond to any of the quotes.

The facilitator listens for patterns or repeated quotes to decide which quotes to clump together for group discussion (Step 4). Only one person should restate repetitive or similar quotes before the group discusses them. However, at Step 5, each individual who listed that quote gets to have the last word.

The emperor has no clothes

Spotlight standard: Implementation

Professional learning that increases educator effectiveness and results for all students applies research on change and sustains support for implementation of professional learning for long-term change.

THE

Story

A week before Douglass Middle School was scheduled to receive the state report of student achievement scores, the principal and assistant principal were nervous. The last state report had not been good. Mathematics, science, and social studies scores across 6th through 8th grades had been barely satisfactory.

The two had dissected the data with the school's 40 teachers and had asked the staff to meet in their learning teams to consider explanations for the low scores. Teams then took their hypotheses and evidence to the whole staff.

Both the principal and assistant principal had been working on their doctoral programs for two years at the nearby university. They had shared an online course the prior spring and had extensive conversations — and debate — about some of the course topics. One topic on which they wholeheartedly agreed was the need for this middle school's mostly African-American student population to gain expertise in critical thinking, problem solving, and creativity. In light of the student achievement results,

the two felt even more pressure to address the issues, but where should they start?

Principal Franklin Lee said he wished the school could offer science courses with an inquiry approach, in which students would be responsible for initiating and designing their learning by defining the problems they would set out to resolve. Almost simultaneously, Assistant Principal Alyshandra Borton wondered whether a constructivist approach in math would provide students with more opportunities to creatively solve problems.

Although their district operated with a districtwide curriculum, the area superintendent and curriculum staff had trusted and supported these school leaders in the past when they had presented good ideas. The two agreed to consult the math coordinator, science supervisor, and their area superintendent for ideas about what they might do.

Their central office colleagues enthusiastically helped them think about how to address academic goals in math, science, and social studies — and process goals of critical thinking, problem solving, and increasing creativity. The director of curriculum and instruction assured the two principals that they would have additional support for their pilot efforts: The district's math and science coordinators would meet with them every two weeks to support their efforts; a leadership coach would be available to discuss issues and concerns about the experience and to guide the school leaders in their work with staff; and instructional coaches might be assigned to support teachers' efforts to learn to implement the new

About the district

This large school system is in a small northeastern state about 30 miles from the Atlantic coastline. The district's four high schools and their feeder schools are organized into divisions, each with an area superintendent and a central office. Douglass Middle School's area includes an alternative high school in the northernmost section.



practices. The central administrators also reminded the principals that the district was promoting the constructivist approach in math and inquiry in science. Borton and Lee were pleased to learn that their efforts were aligned with the district's priorities.

The school's staff spent an intense year focused on improving teaching to promote student critical thinking and problem solving. Every two weeks, the district math coordinator worked with the math teachers on a constructivist approach. The district's science supervisor worked with science teachers on an inquiry approach. These two curriculum specialists also met with the whole faculty every other month to share what the math and science departments were doing and to help teachers coordinate critical thinking and problem solving skills across subjects. The entire staff attended the meetings, and all were enthusiastic. Each hoped for significant improvement in student achievement.

Disappointment

When the teachers gathered and unrolled the latest test scores, their disappointment was keen. "We all worked hard," Lee consoled them, "but we know it takes more than one year for good results to develop. Maybe we're missing something, though. Could each department meet to examine possible reasons, then have a conversation with us to share your findings?"

On Friday afternoon, Lee and Borton spent hours analyzing what they had learned from the departments. Finally Lee summarized: "What we hoped would happen for students regarding math, science, critical thinking, and problem solving simply hasn't occurred." Borton added, "As the little boy in the fairy tale said, 'The emperor has no clothes!'"

"We need some help examining our findings and understanding why our change effort is not succeeding," Lee said. The administrators decided to reach out to their area superintendent,

Lee summarized: "What we hoped would happen for students regarding math, science, critical thinking, and problem solving simply hasn't occurred." Borton added, "As the little boy in the fairy tale said, 'The emperor has no clothes!'"



Jim Nelson. Lee dialed the area superintendent, who he knew had experience facilitating successful improvement efforts. Nelson wasn't surprised to hear from Lee. He had studied the student data before the schools received their reports and was aware of the school's efforts and the student test scores.

"How about meeting for dinner before the Friday night ball game?" Nelson asked.

The superintendent steps in

At the restaurant, Nelson offered condolences. Then he reminded the school administrators that substantive changes in curriculum or instruction require three or more years to learn and translate into practice (Fullan, 2001).

"You had solid research to support the changes to your curriculum," he said. "I wonder how effective your teachers are in using the new practices."

Nelson introduced them to a metaphor of an "implementation bridge" to explain how a school gets from adopting new practices to seeing increased student gains (Hall & Hord, 2011).

"Getting from point *a* to point *b* doesn't happen just because we wish it or because we have devoted time to it," he said. "The distance between adopting a new way and having that change benefit students is a trek. Maybe we need to review the plans for getting teachers and students across the implementation bridge."

He outlined several strategies he had gleaned from research and previous experience:

- Articulate a shared vision of the new way — what it will look like when it has been installed in the classroom with a high degree of fidelity.
- Create a plan and identify resources that enable us to attain the vision.
- Invest in professional learning about what the new way is and how to use it.
- Assess the degree to which staff are moving across the bridge and attaining the vision.



- Provide assistance one-to-one or to small groups to support movement.
- Create a context that supports and encourages the change. (Tobia & Hord, 2002)

“So we should address the issue of shared vision first,” Borton said. “From the conversations we had with the school teams, I don’t think they really know what the new ways look like in the classroom. And our follow-up has been weak. Teachers admitted they went back to the ways they knew because they weren’t clear about the expectations.”

Nelson said support requires understanding individuals’ implementation. He reminded the two principals of the power of using Innovation Configuration (IC) maps (Hord, Stiegelbauer, Hall, & George, 2006) to detail the major components of a new program, process, or practice so that the implementer knows what the innovation is and what it looks like in operation. The map addresses the task in the first strategy, a shared vision, spells out the ideal practices of the innovation in operation, and describes what an observer would see when the innovation is implemented.

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“The IC also provides a foundation for other strategies,” Nelson said. “When a vision is committed to paper, we can use the vision to create a plan to identify human and material resources we need. A part of the plan will be the third strategy: providing effective professional learning about the innovation and how to use it in the classroom. And the IC map informs the professional learning — describes what the administrators and teachers will need to learn to do.”

He described a study of an American school in Germany implementing change. The study (Schaal, 2010) found that teachers who adhered most closely to the IC map of the new math approach and who had the highest rating on Levels of Use (Hall, Dirksen, & George, 2006) had the highest student scores on mathematics.



“The IC map also helps us monitor the teachers’ progress in learning and using the new practices in their classrooms,” Nelson continued. “We use the data obtained from monitoring to provide assistance and feedback to the user. We could use a combination of assessing and assisting according to the IC map to focus our coaching. Finally, it is your responsibility to create a positive context that is supportive and encourages the staff.”

Nelson encouraged Lee and Borton to continue to work with the central office math and science curriculum staff to remain in alignment with the district’s scope and sequence, as well as to secure additional support for their teachers.

“It seems all our principals could benefit from knowing more about effective professional learning,” Nelson said. “I’m going to suggest we include these topics in the principals’ professional development.”

When the area superintendent left, Borton turned to Lee and said, “Now I have a better idea about why our plan did not produce our desired results. We certainly have a lot of work to do this coming year.”

BIG *Ideas*

Change must be implemented well, with a high degree of fidelity, before the change can be sustained. Otherwise, a poor and shallow version of the change will live its life in the system or experience an early death.

Learning Forward’s Standards for Professional Learning can guide planners in designing and delivering adult learning for those who are expected to implement new practices. Using the standards increases the potential that new practices meet expectations and are implemented with fidelity. In addition, literature about change can offer ideas for actions, approaches, and perspectives that contribute to a successful change effort.

Three components are at the core of this standard.



■ Apply change research

Effective professional learning begins with clear goals and high expectations for implementing the change with fidelity. Those responsible for professional learning apply research on change to respond to the differences they will encounter in facilitating individual and organizational improvement. Change research offers valuable guidance and resources for supporting and sustaining implementation efforts. Change agents around the globe have used research-based tools — Stages of Concern and Levels of Use — to support change efforts (Hall & Hord, 2011).

Stages of Concern. Stages of Concern describes the affective, or personal, dimension of any change, whether a school, classroom, or personal change. The measure outlines seven stages and describes the reactions, attitudes, or perspectives of an individual at each stage related to a specific change. Leaders who identify an individual's stage of concern can offer appropriate learning and support.

Levels of Use. Levels of Use were identified from research on change and reveal eight behaviors that individuals demonstrate as they approach change. Knowing an individual's Level of Use can help leaders identify the supports most likely to lead to the person putting the change into practice.

Innovation Configurations. Innovation Configurations detail the major components of a new program, process, or practice so that the implementer knows what the innovation is and what it looks like in operation (Hord, Stiegelbauer, Hall, & George, 2006). The map spells out the ideal practices of the innovation in operation and describes what an observer would see when the innovation is implemented.

■ Sustain implementation

Nearly any change effort requires three to five years for quality implementation (Fullan, 2001). Continued support, through providing time and a budget that includes sufficient materials,



is vital in order to sustain the new program, process, or practice. Learning sessions that deepen participants' understanding of the new practice are also necessary to implement and sustain the change.

Job-embedded support is among the most essential sources of support for successful implementation. This may include coaching, reflecting, problem solving, data analysis, and intentional learning. Support may occur individually, with a partner, with a learning team, with an entire faculty, or with a group beyond the school. Some support may occur face-to-face or online. The key is that the support is available when it is needed most and that the process is not abandoned when the individuals hit the inevitable implementation dip of change efforts (Fullan, 2001).

■ Provide constructive feedback

Scheduling time to examine data and share feedback, tutor, and encourage individuals to reflect on their use of the new practice is at the heart of this big idea.

Providing data that answer questions about implementation and impact is key to achieving program goals. Change leaders collect and analyze data in order to identify those who need help. Multiple forms of data can be accessed to indicate levels of implementation, problems of implementation, individual understanding, application, student progress, and more. Change facilitators use formative assessment data to share useful and meaningful feedback with implementers to help them identify areas in need of improvement. Scheduling time to examine data and share feedback, tutor, and encourage individuals to reflect on their use of the new practice is at the heart of this big idea.

Feedback should come from multiple sources and in multiple forms. Change leaders — facilitators, coaches, or assistants — introduce practitioners to self-assessment tools. They often work with implementers to find solutions and solicit the individual's agreement to try a solution. They return to assess impact and determine next steps toward successful implementation.



CONNECTING
TO THE *Standards*

Successful **implementation** of an initiative is challenging. Transferring a new program to the classroom typically requires several years of focused work. Part of the basic work of implementation is clearly specifying in writing or through an assessment instrument what the practice will look like in the school or classroom when it is implemented well. Many change leaders and school improvement teams find the Innovation Configuration concept and its written map valuable for this purpose.

The Innovation Configuration map defines the best practices or ideal uses of the innovation. The map makes clear that learning about the innovation and how to use it requires time. The continuum of practice outlined on the map identifies decreasing iterations of the ideal; it defines the goal or target and various progressions along the way to the goal.

As previous chapters have shown, no standard can stand alone. District leaders must depend on **data** to determine which programs or practices to eliminate and replace. Educators will need to learn what the new program is and how to use it through **learning community** activities where a variety of **learning designs** help them deepen their knowledge and build the skills they need to implement the initiative with a high degree of fidelity. Leaders then continue to collect and interpret data to check the progress of implementation.

Leadership is essential to successfully implementing change. Assuming that change is a free ride — that a new curriculum or new way of teaching, a new assessment, evaluation, or any aspect of change will be easy — is a mistake. Change leaders will need to pay attention to and arrange for **resources** such as time, learning materials, and human resources. Change supporters must articulate the **outcomes** they expect from adopting and implementing the new program. It's impossible for implementers to reach a desired outcome if the outcome



has not been specified in advance. The lack of clearly defined outcomes may be responsible for the lack of success in many change efforts.

What do you think?

Douglass Middle School has committed to improving teaching, expecting as a result to improve student learning. The school benefits from its administrators' attention to teacher and student needs, as well as the area superintendent's and middle school principals' commitment to their own learning about leadership and change. The principal and assistant principal have worked to involve staff in conversations about improvement efforts, increasing the possibility of gaining and confirming teachers' commitment to continued improvement. However, the school's change effort has now stalled.

- The area superintendent shares with the principals that he will recommend professional learning as the focus for future principal meetings. How might that experience help Borton and Lee?
- What can the area superintendent do to increase the principals' knowledge and skills to be able to change teachers' practice and increase student learning?
- What other actions might the principals take to support and facilitate the teachers' implementation of the new strategies?
- What structures and/or processes might the principals put in place to sustain the teachers' implementation of the new program?
- How can the school leaders assess how well teachers are implementing the program, an important factor in providing teachers with feedback and support?
- What can the school system do to ensure that teacher feedback is offered with appropriate sensitivity and skill?
- What experiences have you had, or what have you read, that have implications for this district and its schools?

ANALYSIS &

Advice

THE AUTHORS' RECOMMENDATIONS ARE SUGGESTIONS — ONE POSSIBLE SCENARIO. READERS WILL HAVE MANY VALUABLE IDEAS.

Peter Block (1987, p. 98) states, “Leadership is the process of translating intentions into reality.” Leaders must do more than manage schools and districts well so that a stable environment exists; they must act as teachers, spurring educators to action and improvement. In essence, leaders are change-makers, guiding their organizations to an improved status. In Douglass Middle School’s case, we might create posters of Block’s statement and post them in the superintendent’s and principals’ offices. Translating lofty goals into everyday practice is part of the leader’s role. This is the focus of our advice.

The area superintendent and middle school principals value continuous professional learning, but it is unclear how the professional learning that is being offered is engaging the classroom teachers. Given the lack of clear understanding about what the new program should look like in classrooms, leaders could begin by answering: What will teachers be doing when they are practicing the new way of teaching? They also might specify student outcomes that should result from teachers’ actions. Identifying teachers’ instructional practices and student results is the base from which the change can proceed successfully. Without this vision of the change, the process is doomed.

Administrators and teachers will benefit from keeping in mind a cycle of continuous improvement that reaffirms ideas about school improvement and change.

- School improvement begins when educators collect an array of student performance data and analyze the data to ascertain in which areas students are learning successfully and in which areas they are not.



- When areas are identified where students aren't succeeding, educators eliminate practices that did not result in student success and select programs, practices, strategies, or processes that may help educators serve students more successfully.
- Adopting and introducing an innovation — and expecting results — without specifying desired outcomes is like giving a novice chef a package of ingredients without a recipe and expecting to be served an elaborate dessert.
- School improvement requires eliminating unsuccessful practices and presenting a clear articulation or picture of potentially successful ones, along with attention and activities that support educators' learning about the new practice and how to use it.

*Change is learning, and
learning produces change.*

School improvement is based on changing school and classroom practice, and changing practice is based on learning the new practice.

To put it succinctly: Change is learning, and learning produces change.

The leaders in this story might identify strategies and tools in the change research (see the first big idea) to understand exactly what their new program entails. Their review might remind them about the superintendent's reference to IC maps and should lead them to consider bringing together teacher representatives and an expert who clearly understands the new program to construct an IC map. The group could create several maps that will:

1. Define what teachers will do in the new program.
2. Describe the principal's and assistant principal's roles and actions.
3. Indicate what students will be doing when they are engaged with the program.

They could make separate maps for each of these role groups so that roles do not become jumbled on one map.

Next, the administrators might use the maps to determine what resources they will need in order for teachers to take a new,



constructivist approach to mathematics that will support developing students' skills in critical thinking, creativity, and problem solving. Effective professional learning providers, such as this area superintendent and principals, can use the maps as a guide to identify what the teachers and principals need to learn in order to know what and how to use the program.

The IC map is constructed along a continuum describing a progression of desired behavior and the ideal variation of each outcome. The map spells out in detail *what* the new program is and what the *expectations* are for *how* it will be used.

In a third step, the area superintendent and principals can use the maps to monitor individuals' progress in learning about and using the program. These change leaders can then use the IC maps to share constructive feedback with each teacher implementing the change about his or her performance so that, collectively, they can determine what support and assistance the individual may need (see the third big idea on providing constructive feedback). The goal is fidelity — using the new program or practice in the highest-quality way. The IC map is a growth-inducing tool, indicating where implementers are on the continuum toward ideal and where they need help to advance their learning and performance.

*The goal is fidelity — using
the new program or practice
in the highest-quality way.*

Finally, the change-leading area superintendent and principals can identify individuals who can facilitate the teachers' implementation of the change and use the maps to prepare the selected facilitators to guide and support individuals' understanding of how to use the new way. Change leaders and the facilitators may use the maps to assess progress every other week or so, observing implementers or talking with them about their progress. Leaders (the system and school-based administrators and those facilitating the classroom teachers) continually use the maps to guide the process (see the big idea on sustaining implementation).



Each of these steps requires a significant investment of time. Making maps requires thoughtful analysis and clear writing to enable others to use this tool. Writing a good first draft may require a couple of days, but revisions may take several more days. The second step, using the maps to plan implementation and resources, may be done in a day or so if planners are familiar with the new practices and their requirements through having created and reviewed the maps. In most cases, implementation requires three to five years. Leaders continuously use the maps to guide the process.

The administrators in this school, supported by their central office colleagues, might need to regularly remind students, teachers, and parents of the new program's purpose, value, and benefits to students. They have identified others to learn, work, and cooperate with them in activities supporting the teachers and students in the change. They will need to continue to encourage teachers, students, and parents to take ownership in the process of making this change successful. Ultimately, they will celebrate increased staff and student learning.

Source: Hirsh, S. & Hord, S. (2012) *A playbook for professional learning*. Oxford, OH: Learning Forward.

Phases of the change process

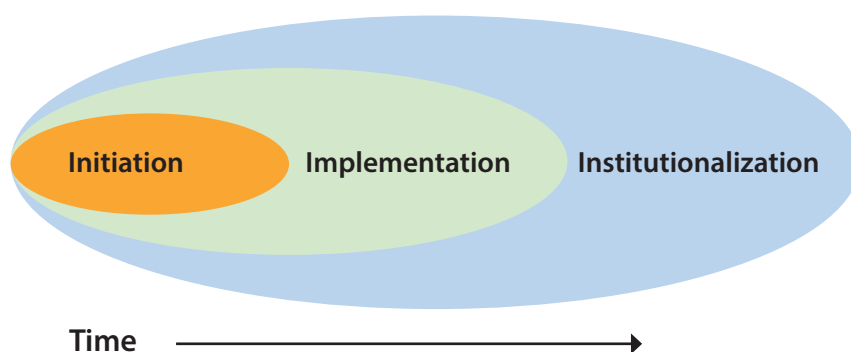


Figure: The three overlapping phases of the change process (Miles et al., 1987)

Change occurs in three phases over time (Fullan, 2007; Miles et al., 1987). The goal of any change is institutionalization, yet institutionalization will not occur if the change has not been successfully initiated and fully implemented. Each phase depends on the prior phase's success and requires different strategies. Institutionalization means that the new practices are routine for everyone responsible for implementing them and that the practices lead to the intended results. Until that time, the change is not fully implemented.

Those who lead and facilitate change begin by working backward, with the end in mind. In other words, they start the change process by describing what institutionalization looks like.



INSTITUTIONALIZATION occurs when the innovation becomes routine practice in its frequency, consistency, accuracy, and results. Members of the organization use the change at least at the routine level of use and have resolved major issues related to its implementation, such as resources, time, materials, and so on.

Questions to ask about **INSTITUTIONALIZATION**:

- How widespread is implementation?
- How many are not yet fully implementing the new practices?
- Have practices become routine behavior in nearly every classroom? How do we know?
- Based on the evidence of level of implementation, what needs attention from both leaders and primary implementers — deeper implementation, sustaining what we have implemented, or some combination of the two?
- How will we be able to sustain the change over time?

Leaders' actions determine whether change becomes institutionalized. Actions that support institutionalization include:

- Developing constancy of purpose by sustaining commitment to implementation over time.
- Creating a safe space to challenge and explore assumptions so that dissonance, disruption, or dissatisfaction do not derail implementation and success.
- Telling the truth about what is really going on so as to invite efforts toward continuous improvement.

IMPLEMENTATION is the second phase of the change process. Once the vision of institutionalization is clear and consistent, leaders concentrate on what is needed to put the innovation into practice by planning for and supporting implementation. For example, when leaders plan to implement the Common Core State Standards, they describe what early stage implementation looks like, what mid-stage practices are, and what full implementation is.

Another important aspect of implementation is providing constructive and supportive feedback and opportunities for continuous professional learning for educators to refine their practices and improve results. Feedback and ongoing professional learning are the primary means for developing clear and consistent understanding, expectations, and practices associated with the innovation. Clarity about what is expected is necessary in order to minimize confusion and inconsistency in practice. Occasionally, leaders set expectations about implementing innovation, yet this is a small part of what is needed. Leaders need to set clear and consistent expectations about implementation with frequency, consistency, and accuracy to produce intended results.

Only when an innovation is fully implemented can it be sustained. Leaders monitor implementation, assess the innovation's accuracy and frequency, and provide the necessary supports to refine implementation. Many innovations in education fail because those making the change place too much emphasis on the initiation phase and not enough emphasis on implementation and institutionalization.



Questions to ask about **IMPLEMENTATION** include:

- What is meant by full implementation of this innovation? What behaviors and practices are demonstrated at the early stage, mid-stage, and in full implementation?
- What conditions are needed to support implementation?
- What supports are in place to meet the needs of those responsible for implementation?
- How are we giving feedback and ongoing professional learning to those implementing and leading change?
- How do we monitor and measure implementation and the results of implementation to continuously improve practice and results?

INITIATION is the first phase of the change process. In most cases, those facilitating and leading change pay close attention to launching the innovation because they recognize that how well something begins affects how it ends. Yet launching an initiative is only the beginning. While initiation deserves considerable emphasis, leaders plan for all three phases simultaneously. In planning for change, leaders engage educators

responsible for implementing the change by addressing how the innovation will affect both educators and students.

To plan an innovation, leaders define the results in terms of student success and adapt existing processes to support the innovation. For example when focusing on implementing the Common Core State Standards, the result is not implementing the standards. The result is achieving high levels of success and preparing all students for college and careers.

Questions to ask about **INITIATION** include:

- Have we helped implementers understand how the innovation leads to improvements for themselves, as well as for their students?
- Have we mapped out the theory of change and indicators of success to serve as benchmarks for assessing progress?
- How will we communicate with all stakeholders the goals of the innovation and the processes and strategies for achieving them?
- How will we help constituents understand the rationale and urgency for the innovation?
- What resources have been made available to support the initiation and implementation?

Adapted from: Fullan, M. (2007). *The new meaning of educational change* (4th ed.). New York, NY: Teachers College Press.

Making the leap

Leadership, learning, and successful program implementation

By Edward F. Tobia and Shirley M. Hord

The public, the press, and the profession share a keen desire for their schools to become places where all students achieve to high standards.

Over the last three decades many researchers have studied the efforts of schools to become more effective, so that students become more successful learners. Based on that research, many new programs have been introduced that hold the promise of improving student achievement. However, one significant finding relevant to this proliferation of programs is the lack of understanding about what should happen during implementation, i.e. the period of putting new programs and practices into place (Fullan, 2001).

Many educators, from policymakers to principals and classroom teachers, believe that if a school or district adopts a new program, somehow — after a workshop or two — the new program will be used effectively in classrooms and student learning results will improve in short measure. This “giant leap” in thinking overlooks the significant work that must occur between the adoption of a program and the realization of student gains. Change doesn’t just happen because we want it to or expect it to. What happens in the chasm spanned by the “giant leap” is *implementation*.



Researchers have identified strategies that can help schools and school leaders successfully maneuver this “giant leap” and operate in a new way that results in improved student achievement (Hord, 1992). These strategies for successful implementation can be organized into six categories:

- Creating an atmosphere and context for change
- Developing and communicating a shared vision
- Planning and providing resources
- Investing in professional development
- Checking progress
- Continuing to give assistance

In this article, each of these categories is examined, with suggestions for what effective leaders do to encourage and nurture the implementation of any newly adopted program. Examples from the field are provided including individuals and groups that represent leadership in districts and schools. In these examples, leaders include superintendents, principals, teachers, central office staff and leadership teams.

Creating an atmosphere and context for change

When you think about it, school improvement or school reform really means that the school and its staff are *changing* how they do business. Changing how to do business is dependent upon the staff *learning* how to do things differently. Fundamental change flourishes in an environment where everyone is committed to learning — learning for staff first, followed by learning for students whose learning experiences are of

increased intellectual quality provided by more effective teachers and administrators. In such an environment change is promoted and risk-taking is encouraged.

Teachers may feel unsure of themselves when they begin to operate in different ways. Leaders in these schools pay attention to the concerns of teachers and are never too busy to listen and interact with staff: Do teachers need more information? Assistance with preparation of lessons or materials? Assistance with using new instructional strategies?

In a school creating a context conducive to change one will see the entire professional staff (teachers and administrators) coming together to reflect on how they are working to achieve goals for students. They consider what is working well and what is not working so well, and use this information to assess how effective they have been. From this reflection and assessment, they determine where the “soft spots” are that need attention and decide the learning that they need to do to “shore up” these areas of need.

Effective leaders demonstrate their support by taking an active role in these professional learning activities alongside teachers and by encouraging teachers to take leadership roles in the identification and implementation of new initiatives. With teachers, they share power, authority, and decision making so that the entire school staff acts as a community of leaders and learners.

A superintendent that we know interacts directly and personally with his campus principals. They make plans and set goals on which the principal will work. The superintendent makes clear that risk-taking is in order so that



innovation and new practice can flourish. If mistakes are made, they are accepted, if learning accrues from the errors. In this context, mistakes are not seen as debilitating events, but as part of the process of changing the school's structures and practices that will benefit students.

Developing and communicating a shared vision for change

Implementation of a new program is more effective when it is focused by a clear vision for change. Having a clear vision is more than having lofty goals. It refers to mental pictures of what a school or a classroom might look like in a changed and improved state — a preferred image of the future. Effective leaders work together with staff to create this clear image of what a new program will look like when it is functioning in the school or classrooms in a high quality way. When a staff has collaborated on developing a shared vision, each individual (teacher, principal, and paraprofessional staff alike) has a clear picture of what they must do to accomplish the desired change, but they also have a picture of how their role supports the overall program.

A compelling vision reflects the values held by the staff and stakeholders and it drives all decisions made at a school. For example, if the vision of the new instructional practice indicates that students will develop mathematical concepts by manipulating objects in math, then funds will be set aside for the purchase of manipulatives; teachers will change practice by incorporating manipulatives into lessons; and students will be seen using manipulatives in math classes.

In order to foster a common understanding about the vision, effective leaders use every opportunity to refer to the vision of the school during school and community meetings, personal interactions, and written communications.

One of the effective principals that we have studied convenes the entire school community (school staff, students, parents, business representatives) to share with them the vision of change toward which the school is working. As the constituents work on creating mental images of the change when it is in place, they gain a sense of where the school is heading and what they can do to support the efforts, not only in the classroom, but in the home and community. This community-wide shared vision increases the potential for the change to be well implemented so that its benefits can be realized in students.

Planning and providing resources

A vision is of no use without a clear roadmap to guide the school in realizing that vision; implementation plans give administrators and teachers clear, specific and orderly instructions to follow as they implement their initiative. Effective leaders engage their staff in the planning process and in a dialogue about the best use of people, time, and dollars to support a new program.

Planning should be less of a blueprint and more of an evolutionary process. That is not to say that a school's improvement plan is abstract, obtuse, and non-specific; but effective leaders work with teachers and adapt plans based on direct experience with what is working in moving toward the vision and what isn't. The plan evolves through interactions with participants (administrators,



teachers, parents, and students) and is clearly focused on improved student performance.

How resources (dollars, personnel, time, and energy) are allocated at a school is a reflection of a school's goals and priorities as reflected in their plan. In effective schools, resources are allocated, and re-allocated, in ways that maximize teacher learning, organizational learning and, thus, student learning.

An effective high school leadership team that we've worked with included the principal, teachers, parents and a central office staff member. They took the time necessary to conduct a complete audit of the current state of affairs at the school. They researched student achievement trends, graduation trends, and course loads and they analyzed the budget. They learned about obstacles and expectations from staff, parents, students, and community members. The team identified the key issues facing the school, combed the research for approaches that would address those issues and worked with the entire faculty to design a new way of operating based on student needs. Some former programs were dropped, funds were reallocated and staff was realigned to match the new program where all efforts were focused on having every student graduate.

Investing in professional development

Change efforts most often require the acquisition of new content knowledge and/or additional instructional techniques and strategies. Teachers need a way to acquire the necessary skills and knowledge, receive feedback and support as they

begin to use the skills, and have opportunities to reflect on how their behaviors impact student achievement. Effective professional development affords teachers opportunities to learn together and discuss new ideas with their colleagues and review together how samples of student work have changed as a result of the new program. Teachers need risk-free opportunities to practice, view model lessons and receive coaching and feedback on the use of the new ideas or strategies.

Effective leaders use multiple forms of data such as student achievement data, survey and interview results and program evaluation data to identify needs of the staff for training and development. They encourage a deep understanding of new ideas through collegial learning opportunities rather than mechanical implementation of a program. They also participate directly in staff development sessions and take part in planning, conducting, implementing and evaluating the effort.

Schools that place an importance on professional learning provide adequate time for staff development and follow-up. In these schools, teachers are provided support and materials they need as they implement new instructional strategies.

Enlightened districts, and there are quite a few, are providing schedules where student early release days permits the professional staff to come together regularly and frequently for "faculty study." At these times, the learning and growth of the faculty has been defined by the issues of need of the particular school. In these professional learning communities, the staff is continuously studying itself to make decisions about their needs for professional development so that their



improvement is continuous and directed toward the needs of the students.

Checking progress

Checking the progress of implementation is important so that principals and teachers can learn from their successes and setbacks. They must know what's working (and why) as well as what's creating problems in order to provide support for the change effort where and when it's needed and deal with problems appropriately. Checking progress is a leader's continual effort to "touch base" with implementers, seek input about their needs, and assess implementation progress.

School improvement efforts, no matter how well planned, will always encounter challenges and problems at some stages — some slight, some that are possibly severe. Effective schools have many ways to measure the progress they are making toward incorporating new ideas into everyday practice and to check how much they have learned. They set specific benchmarks and check them against the "preferred image for the future," the staff's vision of the program when it's being implemented fully.

Effective leaders continually check current performance against the vision. They acknowledge problems and confront them rapidly but they also recognize the positive steps being made toward a new way of operating. They develop an atmosphere of trust so that frequent visits to classrooms are a comfortable routine and are non-threatening. They gather information formally, i.e. by surveys and testing, or informally, i.e. by interactions with teachers in hallways and brief classroom visits. Feedback is frequent and

constructive and it is used to make adjustments as the implementation unfolds.

When teachers develop a system of "peers helping peers," they touch base as partners with each other, serving as "critical friends" or "friendly critics." They observe each other's performance and give constructive feedback. In addition, they study students' work across classrooms and deliver helpful critiques. This interaction among staff contributes to individual's effectiveness as well as that of the organization. In this way, everyone is involved in checking the progress of the implementation effort.

Continuing to give assistance

A new idea is like a seedling — it needs care and attention to flourish and mature. As teachers and administrators begin to change strategies and methodologies, there are personal and management needs that arise and continuing assistance is required. These needs must be addressed and they change as implementers move from novice to expert in their improvement efforts; assistance is structured to focus on these needs.

Effective schools provide many ways for all staff members to provide support for each other including peer coaching and mentoring. They take the information generated as they check progress and work out ways to help those who need additional assistance with incorporating new ideas into daily practice.

A leader's actions should focus on promoting implementation through coaching, problem-solving and technical assistance to individual users. Assistance can be as simple as having materials for teachers in classrooms as they are needed



or as challenging as creating organizational structures that allow teachers to plan together and observe one another. Giving consistent attention and acting on problems involves enormous persistence and tenacity, and good leaders address problems from every possible angle over time.

Effective leaders also look for positive progress and directly and sincerely recognize and praise teachers. An effective source of support that is often overlooked is bringing staff together regularly to celebrate successes that teachers are experiencing as they implement the new program.

Assistance is coupled with checking progress; they go hand in glove. Central office staff can support assistance efforts by providing additional materials and the human dimension of recognizing and celebrating a school's efforts and successes along the process of implementation. Central office staff know and understand that the implementation dip suggests that before things get better, they will be challenging and difficult. Their attention to the school and their support in assistance giving is a significant boon to a school in the process of doing the hard work of changing their curriculum, instruction, assessment, or other factors.

Sustainability

If implementation proceeds well, and staff learn how to use new practices and processes in a high quality way, there is a good chance that such practices may be sustained and become routinized into the daily life of the school or district. Too often staff members learn only to use new practices in a superficial way and without deep

meaning and understanding of how to adapt them for the benefit of individual students. Without deep understanding they become mechanical users of new programs and practices. The goal is not to maintain such dogmatic use, but to provide staff sufficient time and learning opportunities so that they understand the philosophical approach and rationale for the new practices that they are implementing.

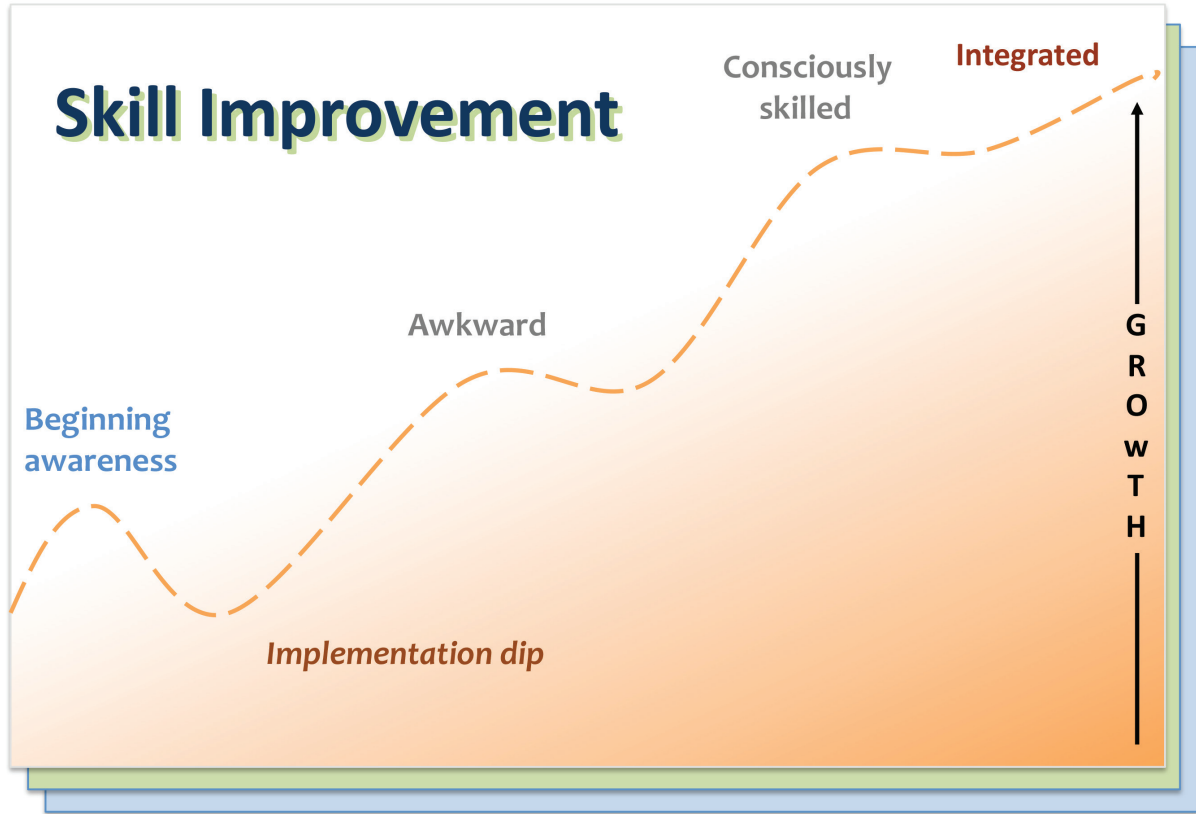
Then the goal is to make certain that the implemented program has a line in the budget, new staff are given training and development activities, and resources are appropriately allocated so that the program is soundly supported. Above all, leadership in the school gives continuous attention and directs the attention of others to the value of the now not-so-new program. That the program and its practices are given support and also celebrations are keys to its robust sustainability, and its capacity to contribute richly to the learning success of students.

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SOURCE: Tobia, E.F. & Hord, S.M. (March, 2002). Making the leap: Leadership, learning and successful program implementation. *Instructional Leader*. Austin, TX: Texas Elementary Principals and Supervisors Association. Reprinted with permission.



PRACTICE OVER TIME

National Training Lab, n.d.

FEBRUARY/MARCH 2003



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A measure of concern

*Research-based program aids innovation
by addressing teacher concerns*

By Karel Holloway

What happens when programs intended to improve student learning aren't successful? Staff carefully researches potential programs, hand-selects one to address the specific needs of the students, and thoroughly prepares teachers. But, once implemented, the innovation doesn't produce the desired results.

Often, researchers say, the problem is not the program, but the way individual educators respond to it.

Each administrator, each principal, each teacher approaches a new program, any change, with a personal set of concerns, researchers have found. Individuals question: *Why should I do this? How long is it going to take me to work through this? I know my kids and I don't think this will work.* Helping educators work through these concerns is crucial in making certain that changes happen.

Just as there are research-based educational innovations, there is a research-based program for aiding innovation — the Concerns-Based Adoption Model or CBAM. It offers a way to understand, then address educators' common concerns about change.

CBAM has other components but the most readily and commonly used is "stages of concern." The ideas were developed in the mid 1970s and many staff developers have integrated the concepts into their work over the past 25 years.

"I run into people all the time who have heard of the stages of concern and kind of keep them in the back of their minds," said Shirley Hord, program manager with the Southwest Educational Development Laboratory. She is one of the principal authors of the system.



Hord said the program is helpful because it is based on research. "We didn't just think this up," Hord said. Through questioning and correlating answers from teachers and college professors about change, Hord and her colleagues identified common concerns that most educators — or any group confronted with change — harbor. Some will go through all the stages, leaving one and moving up to the next. Most will skip around and may have several concerns simultaneously, Hord said.

CBAM's seven stages of concern are:

- **Awareness:** Aware that an innovation is being introduced but not really interested or con-

Continued on Page 2

Program addresses teacher concerns

Continued from Page One
cerned with it.

- **Informational:** Interested in some information about the change.
- **Personal:** Wants to know the personal impact of the change.
- **Management:** Concerned about how the change will be managed in practice.
- **Consequence:** Interested in the impact on students or the school.
- **Collaboration:** Interested in working with colleagues to make the change effective.
- **Refocusing:** Begins refining the innovation to improve student learning results.

Being aware of the concerns allows those in charge of the innovation to tailor aid given to individuals.

"Using the stages of concern, you can get a whole profile," said Gene Hall, one of the CBAM researchers and dean of the college of education at the University of Nevada at Las Vegas. For example, if a leader knows a teacher is concerned about how the innovation will be used in the classroom, that teacher can be given additional preparation or paired with a teacher who is using it well.

ASKING QUESTIONS

Determining a person's stage of concern can be as simple as asking questions, Hord said. Educators can be asked informally during a chance meeting in the hall or in the lunchroom, something Hord calls a "one-legged interview." Or teachers can be asked to respond to open-ended questions as part of the original training. For those interested in building statistical data, teachers can be asked to fill out a survey developed by university researchers. That method is best used only by those who have received training and have a particular need for the data, Hord said.

For most, the informal questions of Hord's "one-legged interview" are the most productive. The questions should be fairly specific: How are your students managing the new math manipulatives?

If a teacher answers, "I haven't really had a chance to use those," the teacher is at the first stage, awareness, not really concerned about the innovation.

A teacher who answers "Mary Jo and I have been working on some ways to let the students use them more for discovery" has reached the collaborative stage.

Teachers can then get the follow-up support for their stages. The first teacher may need retraining to get more information and be impressed with how important the innovation is. The second teacher needs to be encouraged to continue and expand the collaboration.

OPEN-ENDED QUESTIONS

A more formal way to assess an individual's stage of concern involves asking teachers to respond to an open-ended question. The question can be asked at the beginning of training, the end, or both. Before and after training, teachers can be asked a question such as "What concerns you about the new program?"

If asked before and after, facilitators can see where teachers started and how much movement has occurred. Similarly, when asked at the end, responses indicate what type of follow-up is needed with specific teachers.

USING A QUESTIONNAIRE

Sister Karen Dietrich, principal of the Mt. Saint Joseph Academy near Philadelphia, has used the questionnaire developed by Hord, Hall and their associates and said bar graphs of teacher responses provide comforting proof that technology use is taking hold in her school.

After a technology institute last summer, teachers were asked to fill out a 35-statement survey. Dietrich and a technology facilitator used the results from the 24 responses to address their concerns individually. The teachers filled out the survey again and there was clear movement, Dietrich said.

"When I look at my first 24 bar graphs, there is real density in self concern. In De-

cerner, that has clearly spread out. What is so significant is that in eight weeks, there has been clear movement," she said.

The survey and later personal interviews revealed some real surprises, she said. A teacher who had already been using technology to arrange video conferences with a school in England had responses that showed her concerns were at the bottom stages of awareness and informational. "She had the skills, she just needed the confidence," Dietrich said.

Dietrich used the formal survey and is working out statistical data because her results are part of her doctoral dissertation. But she said the informal interviews have been key. Each interview lasts five to 30 minutes. Some of the exchanges have been by e-mail.

Quickly addressing the concern following an interview was important as well, she said. A teacher who can't figure out how to do something may abandon most technology use if not given aid. "They weren't left hanging for weeks or months," she said. While Dietrich has done much of the evaluation and follow-up, she has had help. The school hired a teacher technologist and Dietrich said she sends some responses to her. Other teachers have been referred to other teachers. "We have a culture of teachers helping teachers," she said.

Finding the time to use CBAM has not always been easy, she said. With a limited budget, hiring the technologist took careful planning. And teachers asked to work with other teachers must get the free time to provide help.

CBAM isn't fast but it provides the ongoing, steady support needed to move an innovation forward, she said.

Dietrich said she felt that using the method to assess how the technological innovations were going was a necessity. "We've invested in the technology. If we are going to invest \$50,000, \$60,000, or \$70,000 in new computers and mobile technology, I can't let it go to waste and be covered with dust."

7 Stages of Concern

The Concerns-Based Adoption Model outlines seven Stages of Concern that offer a way to understand and then address educators' common concerns about change.

Stage 0: Awareness

Aware that an innovation is being introduced but not really interested or concerned with it.

- "I am not concerned about this innovation."
- "I don't really know what this innovation involves."

Stage 1: Informational

Interested in some information about the change.

- "I want to know more about this innovation."
- "There is a lot I don't know about this but I'm reading and asking questions."

Stage 2: Personal

Wants to know the personal impact of the change.

- "How is this going to affect me?"
- "I'm concerned about whether I can do this."
- "How much control will I have over the way I use this?"

Stage 3: Management

Concerned about how the change will be managed in practice.

- "I seem to be spending all of my time getting materials ready."
- "I'm concerned that we'll be spending more time in meetings."
- "Where will I find the time to plan my lessons or take care of the record keeping required to do this well?"

Stage 4: Consequence

Interested in the impact on students or the school.

- "How is using this going to affect students?"
- "I'm concerned about whether I can change this in order to ensure that students will learn better as a result of introducing this idea."

Stage 5: Collaboration

Interested in working with colleagues to make the change effective.

- "I'm concerned about relating what I'm doing to what other instructors are doing."
- "I want to see more cooperation among teachers as we work with this innovation."

Stage 6: Refocusing

Begins refining the innovation to improve student learning results.

- "I have some ideas about something that would work even better than this."

"Everyone

thinks of

changing the

world, but no

one thinks of

changing

himself."

— Leo Tolstoy

Address Individual Concerns

To help bring about change, you first must know an individual's concerns. Then those concerns must be addressed. While there are no set formulas, here are some suggestions for addressing the stages of concern.

Stage 0: Awareness concerns

- If possible, involve teachers in discussions and decisions about the innovation and its implementation.
- Share enough information to arouse interest, but not so much it overwhelms.
- Acknowledge that a lack of awareness is expected and reasonable and that there are no foolish questions.

Stage 1: Informational concerns

- Provide clear and accurate information about the innovation.
- Use several ways to share information — verbally, in writing, and through available media. Communicate with large and small groups and individuals.
- Help teachers see how the innovation relates to their current practices — the similarities and the differences.

Stage 2: Personal concerns

- Legitimize the existence and expression of personal concerns.
- Use personal notes and conversations to provide encouragement and reinforce personal adequacy.
- Connect these teachers with others whose personal concerns have diminished and who will be supportive.

Stage 3: Management concerns

- Clarify the steps and components of the innovation.
- Provide answers that address the small specific “how-to” issues.
- Demonstrate exact and practical solutions to the logistical problems that contribute to these concerns.

Stage 4: Consequence concerns

- Provide individuals with opportunities to visit other settings where the innovation is in use and to attend conferences on the topic.
- Make sure these teachers are not overlooked. Give positive feedback and needed support.
- Find opportunities for these teachers to share their skills with others.

Stage 5: Collaboration concerns

- Provide opportunities to develop skills for working collaboratively.
- Bring together, from inside and outside the school, those who are interested in working collaboratively.
- Use these teachers to assist others.

Stage 6: Refocusing concerns

- Respect and encourage the interest these individuals have for finding a better way.
- Help these teachers channel their ideas and energies productively.
- Help these teachers access the resources they need to refine their ideas and put them into practice.

Source: *Taking Charge of Change*, by Shirley Hord, William Rutherford, Leslie Huling-Austin, and Gene Hall, ASCD, 1987.

“If we don’t
change the
direction we’re
going, we’re
likely to end up
where we are
headed.”

— Chinese proverb



Four A's text protocol

Adapted from Judith Gray, Seattle, WA 2005

Purpose: This protocol engages readers in responding to and analyzing text as they read. Use this protocol while reading “A measure of concern.”

Time: Approximately 30 minutes.

Materials: Text for participants.

Steps:

1. The group reads the text silently, highlighting it and writing notes in the margin on post-it notes in answer to the following four questions (you can also add your own A's).
 - What Assumptions does the author of the text hold?
 - What do you Agree with in the text?
 - What do you want to Argue with in the text?
 - What parts of the text do you want to Aspire to?
2. In a round, have each person identify one assumption in the text, citing the text (with page numbers, if appropriate) as evidence.
3. Either continue in rounds or facilitate a conversation in which the group talks about the text in light of each of the remaining “A”s, taking them one at a time – what do people want to argue with, agree with, and aspire to in the text? Try to move seamlessly from one “A” to the next, giving each “A” enough time for full exploration.
4. End the session with an open discussion framed around a question such as: What does this mean for our work with students?
5. Debrief the text experience.

Source: National School Reform Faculty, www.nsrffharmony.org. Used with permission.

Four A's protocol note-taking form

Assumptions	Agreements
Arguments	Aspirations

Tools FOR SCHOOLS

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Inside

- School's orientation to change, p. 4
- 6 considerations for delivering a change message, p. 5
- Encountering resistance, p. 6
- Scheduled maintenance, p. 7

Winter 2011

Vol. 14, No. 2

4 KEY STRATEGIES

help educators overcome resistance to change



By Anthony Armstrong

***1**

When principals Dot Schoeller and Mike Starosky needed to make dramatic changes in their schools, they both had different goals to achieve, but used similar strategies to implement sustainable schoolwide change.

Schoeller, currently principal at Jenkins Elementary, Lawrenceville, Ga., had previously taken over another elementary school that hadn't made Adequate Yearly Progress and was recovering from the recent suicide of its principal. In addition to turning the school around while staff members were still in an emotionally sensitive state, she needed to implement an inclusive education model to end the isolation of individualized education plan (IEP) students and English language learners (ELL). Schoeller created a coaching model that brought IEP and ELL teachers into the general education classrooms to collaborate and co-teach.

Use the tools on pp. 4-7 to implement lasting change.

Six years later, student scores almost doubled on the Iowa Tests of Basic Skills from 38 to 71, the number of gifted students doubled, and 55% of the students exceeded the state standards. Schoeller's school was the only Title I school in the top seven of her county, and she attributes her success to the many smaller changes she made, including instructor collaboration, small student groups, and an inclusive education model applied to both IEP and gifted students.

Starosky's changes started with implementing high-quality professional learning communities (PLCs) at Whitman Middle School, Seattle, Wash. As a member of Learning Forward's Learning School Alliance, Starosky knew that professional learning communities would help improve students success as well as create a channel for other planned changes, such as implementing distributed leadership and overhauling how they handled IEP students. He began by transforming his school's professional learning system. "We had to look at how to conduct our professional

Continued on p. 2

COVER STORY Change strategies

Continued from p. 1
learning, what the staff was currently doing, and what high-quality PLCs do,” said Starosky. “Now, our teachers see the benefits and they don’t like it when their PLC time is cut.”

***2 ADDRESS RESISTANCE TO CHANGE**

Those who have tried to implement lasting change can attest that it is a complicated process. Numerous studies, theories, and books on the change process have flourished within the last 20 years. “Change is a science now,” said Shirley Hord, educational consultant and scholar laureate for Learning Forward. “We have studied it for over 40 years and know a great deal about it.”

While change itself is a complicated process, a review of change literature reveals four basic stages that help innovators preemptively reduce the amount of resistance encountered and provide ongoing frameworks for preventing and overcoming resistance: build trust, create a clear vision, ensure a strong and consistent implementation, and support the change with consistent follow-through.

BUILD TRUST

Educators and authors often cite trust as a critical ingredient for building cooperation and buy-in. For Starosky, giving others the opportunity to provide input is important for building trust. Staff meetings often begin with staff writing and reflecting individually, then discussing the topic within small groups, with someone from each group sharing their main ideas or concerns. Starosky gives staff “exit tickets” to write down opinions or concerns that help inform teams and committees; he also surveys the staff and local community to avoid becoming isolated. For example, when identifying new elective classes, Starosky used surveys to see which electives parents wanted. Starosky made changes based on parent input and ultimately encountered no resistance, a success he attributes

to proactively reaching out to the community. Other strategies for building trust include open communication, developing a coalition to help lead the changes (Kotter, 2010), avoiding manipulation, demonstrating a willingness to compromise, sharing ownership of the

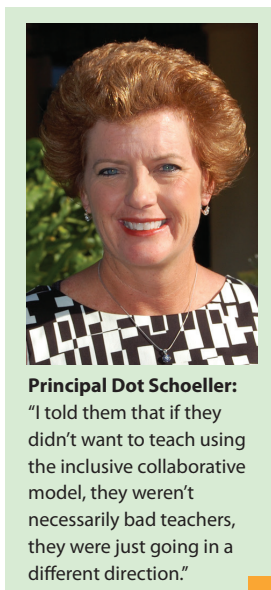
change, and building a reputation for integrity (Bruckman, 2008, pp. 215-217).

CREATE A CLEAR CHANGE VISION

During this stage, innovators can establish a clear message that creates a sense of urgency and establishes a direction for the change (Kotter, 2010).

Schoeller likened her changes to an airplane headed for the ski slopes. “If anyone was on my plane and wanted to go to the beach, they were on the wrong plane,” Schoeller said. “I told them that if they didn’t want to teach using the inclusive collaborative model, they weren’t necessarily bad teachers, they were just going in a different direction.”

Reaching out to the community when developing a clear vision has become a regular part of Starosky’s planning cycle. Currently, Starosky and his staff are planning changes with school discipline policies. “We all have completely different views on discipline,” said Starosky of the faculty, parents, and community. “So we are reading the same book together to come up with answers.” Currently, he has four book-study meetings planned with the parent-teacher organization.



Principal Dot Schoeller:
“I told them that if they didn’t want to teach using the inclusive collaborative model, they weren’t necessarily bad teachers, they were just going in a different direction.”

***3 ENSURE A STRONG AND CONSISTENT IMPLEMENTATION**

Once lead innovators and their teams have crafted a change vision, they disseminate their message consistently through multiple channels of communication and through their actions (Kotter, 2010). Delivery should also include specific strategies for implementing change (Fullan, 2001, p. 18). According to Hord, implementation strategies can include professional learning, how often it will be provided, and what resources, equipment, and materials will be available. “Implementers also need to know they will have plenty of time for the implementation,” added Hord. “They must be given time to make changes. Change doesn’t happen in a day, month, or even a year.”

Implementation of the vision may result in a loss of staff. Schoeller saw 68 teachers transfer out of her school the first two years; however, change leaders advise educators to not let a fear of loss or dissent stifle discussions of proposed changes. Often, resistant voices offer valuable insights and learning opportunities (Fullan, 2001, p.41; Kotter & Whitehead, 2010, p. 88).

Continued on p. 3

Learning Forward BELIEF

Sustainable learning cultures require skillful leadership.

COVER STORY Change strategies

Continued from p. 2

Starosky ensured consistent and clear implementation by communicating the change message to staff verbally and in newsletters. Change leaders also went to grade-level team meetings to address their concerns, talk about issues, model behaviors, develop teacher support, and problem-solve.

SUPPORT WITH FOLLOW-THROUGH

Once changes are under way, continue to use actions to build credibility and ensure the staff that change efforts are not temporary (Bruckman 2008, p. 216). Innovators can continue to make small, successful changes and celebrate those successes (Kotter, 2010).

To help ensure the ongoing stability of the changes, Schoeller modified the school's professional development program to reward teachers for working with coaches, demonstrating implementation, and raising test scores.

For Starosky, follow-up and ongoing support and problem solving were critical. "The idea of what the change is going to look like and the reality of the result can be very different," said Starosky. "So it is helpful to follow up regularly to see what unanticipated problems arise and collectively discuss the problem."

Starosky also uses a data-driven approach to drive a cycle of continuous improvement with the professional learning communities. "We use our PLCs and administration teams to look at students through lenses of equity to problem solve for specific students, grade levels, and content areas," said Starosky. "We can look at what works with the students and explore where teachers struggle."


BIGGEST CHALLENGES

The biggest challenges Schoeller and Starosky faced in implementing change both required internal reflection.

Schoeller recognized that she needed to work on making everyone comfortable with telling her the truth about the changes. "People wanted to please me so bad, they wouldn't tell me the truth," said Schoeller.

Starosky cited the need to remain open and trusting as a leader. "You can't assume you have all the right answers," he reflected. "Do your homework so you know as many sides of the issue as possible. Trust that people have the same end result in mind and want what's best for kids."

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Read more about

overcoming resistance to change using the stages of concern and the Concerns-Based Adoption Model in *Implementing Change: Patterns, Principles, and Potholes* by Gene E. Hall & Shirley M. Hord (Pearson, 2011).

Learn more using Learning Forward's archives

When introducing a new change in your school, scholar laureate Shirley Hord offers these tips.

1. Use **data** to establish a need and create a sense of urgency. Be sure to first celebrate where students and teachers are doing well before scrutinizing where the results need improvement.
2. Use the **stages of concern** at the beginning of and throughout the change effort to read people's feeling on change and to provide support and assistance to help them address those feelings.
3. Use **Innovation Configurations** to illustrate what the change will look like. Principals, administrators, coaches, and teachers can use these to determine what the change will look like once it is put in place.

You can learn more about each of these tips by visiting Learning Forward's complete archive of publications (www.learningforward.org/news/journalsearch.cfm), or Learning Forward's bookstore at (www.learningforwardstore.org), and searching for the phrases in bold above.



TOOL

***4**

Encountering resistance

Some common types of resistance encountered by professional developers



Aggressive resistance. This is the easiest type to identify, because it's overt and no effort is made to disguise the refusal to change.

For example, a colleague confronts a lead teacher with: "Under no circumstances will I participate in another curriculum committee. Let someone else do the work."

Passive-aggressive resistance. In these cases, staff members appear willing to change, but change never materializes. It's common to hear people say, "I'll be glad to lend a hand as soon as I finish this paper work," or "I'll try clear my schedule so I can attend the conference."

Unfortunately, the paperwork never ends, the calendar is never cleared, and "try" never becomes "will." Meanwhile, support for an initiative slowly erodes.

Phantom obstacles are also common: For example,

teachers may express interest in working with a university professor to explore new math teaching strategies, but then back away from change by claiming that "parents don't like us experimenting with the way we teach."

Passive resistance. This looks like wholehearted acceptance until action fails to take place. Staff members willingly discuss change, and may in fact seem enthusiastic, but never follow through.

This is the most difficult form of resistance to detect because it's subtle and sounds supportive. All too often, staff developers hear exclamations of "sounds great," "count me in," and "let's do it" in meetings, only to discover weeks later that action failed to materialize.

Excerpted from: Janas, M. (1998, Spring). Shhhhh, the dragon is asleep and its name is Resistance. *Journal of Staff Development*, 19(3).



Say Something protocol

Purpose: This protocol engages readers with text as they read. This tool is useful when team members will be reading at a meeting and using text to inform. Use the protocol to guide discussion about “4 key strategies help educators overcome resistance to change.”

Time: Varies according to selected reading material.

Materials: Copy of the text for each participant.

Steps

1. Partners each read silently up to a designated point.
2. Once the stopping point is reached, each partner speaks in order to build connections, offer examples, ask questions, etc. Suggestions for partners’ talking points are:
 - a. Something I agree with.
 - b. Something that puzzles me.
 - c. Something I am reminded of when I read . . .
 - d. A new idea.
 - e. Something I disagree with.
 - f. Something I want the author to explain more.
 - g. Something I want to talk more about with others.
3. Partners continue reading sections and pausing to speak until they complete the selection.
4. The whole group discusses the text.

Source: Adapted from the National School Reform Network, www.nsrharmony.org.

10 Things To Do About Resistance

Everybody is at least a little resistant to change. They wonder how it will affect them daily and in the long-term. There are ways to overcome resistance, though.

1. Acknowledge change as a process.

Change is not an event but an ongoing process. Remember that it may take years from goal-setting to stable results. Conflict and resistance are natural processes and not signs of failure.

2. Empower stakeholders.

To get the most cooperation, stakeholders must be included as decision makers. If meeting individual needs is part of the plan, resistance is less likely. Empowering people means creating mechanisms that provide them with genuine authority and responsibility. To minimize discord, the change process should be guided by negotiation, not by issuing demands.

3. Encourage all stakeholders.

Stakeholders must be active, invested participants throughout the change process. Setting up opportunities for individuals and groups to vent concerns can be effective. Being heard is fundamental in establishing understanding and consensus.

4. Set concrete goals.

Set goals by consensus, creating a broad sense of ownership. This step is critical because stakeholders will be able to return to a shared agenda when there are missteps. This makes it easier to refocus.

5. Be sensitive.

Everyone needs respect, sensitivity, and support as they work to redefine their roles and master new concepts. Managing conflict means being aware of differences among individuals. Each stakeholder must genuinely feel valued throughout the change process.

6. Model process skills.

Teach by demonstrating the appropriate skills and actions. Trainers may find that reflecting publicly and in a straightforward manner on their own doubts and resistance may help others.

7. Develop strategies for dealing with emotions.

Educators often focus on outcomes, neglecting the emotions that can go with change. Focus on such questions as: How will our lives be different? How do we feel about the changes? Is there anything that can or should be done to honor the past before we move on?

8. Manage conflict.

Ideally, change is a negotiated process. Stakeholders should be invited to negotiate issues that may cause resistance. For example, an assistant principal may need to negotiate the needs of the whole school with faculty members more concerned with departmental priorities.

9. Communicate.

Talk, write memos, e-mail. Open communication is a necessity. It can move concerns out of the shadows so they can be resolved. Try focusing on reflective questions such as: Where are we in the process? Where are we headed?

10. Monitor process dynamics.

The constant interplay between groups involved in the change must be monitored and the appropriate adjustments must be made. Begin evaluations when the change process is being developed and continue throughout. Ongoing evaluations of progress are essential.

Source: "Shhh, the Dragon Is Asleep and Its Name Is Resistance," by Monica Janas, *Journal of Staff Development*, Summer 1998 (Vol. 19, No. 3). Available online at www.nsd.org/library/jsd/janas193.html.

“The main dangers in this life are the people who want to change everything ... or nothing.”

— Lady Nancy Astor



Reflection form

I learned ...
I relearned ...
I want to remember ...
A question I would like to ask ...
Two weeks from now, I plan to ...