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**ABSTRACT**

This paper on staff development proposes one dimension of the Concerns-Based Adoption Model (CBAM), Stages of Concern, as a diagnostic tool for use by counselors, administrators, staff developers and other change facilitators who are responsible for the timing and delivery of staff development experiences. A rationale for staff development, the necessity of organizational change, and the role of change facilitators are discussed in an initial section. The CBAM model, which proposes concepts and techniques for assessing individuals' concerns about innovation, is described and the seven stages of concern are defined, i.e., refocusing, collaboration, consequences, management, personal, informational, and awareness. The 35-item Concerns Based Questionnaire is described, and the development of individuals' stages of concern is discussed. Levels of intervention corresponding to the stages of concern, with specific tactics and strategies, are proposed. Finally, the role of counselors in staff development using the Stage of Concern model is discussed. (MCF)

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CLIENT CONCERNS: A GUIDE TO FACILITATING  
INSTITUTIONAL CHANGE

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The University of Texas at Austin

1983

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# CLIENT CONCERNS: A GUIDE TO FACILITATING INSTITUTIONAL CHANGE<sup>1</sup>

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Why have staff development? The very name itself suggests that it is an effort to develop -- strengthen, advance, enrich, modify -- individually and collectively, the staff of an institution or organization. This is true for schools as well as for mental health agencies, social service agencies, rehabilitation centers, or any kind of serving agency.

Tyler (1976) identified four purposes of staff development: (1) problem solving, (2) remediation, (3) upward professional mobility, and (4) to motivate. Security is a fifth purpose proposed by Florio, Koff and Schneider (1977). As can be seen in these purposes, staff development may be intended for a very precise purpose, such as solving a specific organizational problem, or for less tangible purposes of developing motivation and security. Whatever purpose is being pursued, there is the clear implication that individuals are expected to change in some manner, and staff development is a means of assisting them in making that change.

## Understanding Change

Changes (innovations) within organizations are typically of two general types, product or process. Product innovations involve the use of something

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<sup>1</sup>The research described herein was conducted under contract with the National Institute of Education. The opinions expressed are those of the authors and do not necessarily reflect the position or policy of the National Institute of Education. No endorsement by the National Institute of Education should be inferred.

tangible and concrete, such as a new set of curriculum materials, a new medication, or a new set of measures for diagnosing client needs. Process innovations are not as tangible and concrete, although they may be structured. Examples of process innovations are a change in the way teachers manage student behavior, a change from a centralized to a decentralized approach to problem solving, or a program to improve staff morale and efficiency.

Whether the innovation be of the product or process type, one thing is certain -- any change will require some time. Change is not a discrete event that occurs at some point in time, but a process that occurs over time. The more complex the innovation, the longer it will take to arrive at a point where the innovation is used routinely. Not only does implementation of an innovation take time, the time and difficulty or ease of implementation will vary from person to person. When involved with an innovation persons within an institution change as individuals, not as one uniform group. Their response to change is influenced by their capability in using the innovation and their concerns about it.

#### Change and Change Facilitators

As a rule, staff development programs are carried out by outside consultants, school principals, trainers or institutional directors who have both leadership skills and knowledge of the innovation. However, the potentially valuable contribution of counselors and student/client personnel officers should not be overlooked. These persons are in an ideal position to recognize and understand the concerns of staff regarding change. Having recognized and understood the concerns of individuals and groups, they can be very helpful to the

staff development effort by responding directly to those concerns and by assisting the responsible change facilitator(s) to attend to them.

### Concerns-Based Adoption Model

This paper will present one diagnostic dimension of the Concerns-Based Adoption Model (CBAM) (Hall, Wallace, Dossett, 1973) which proposes concepts and techniques for assessing individual concerns about an innovation. Suggestions for interventions which address those concerns will also be presented. The intent of this model is not to force change or even to suggest that people and organizations should change. Rather, it is intended to make the process of change easier and more efficient for those who are involved. The importance and utility of CBAM concepts in diagnosing, planning and guiding staff development programs will be discussed in the remainder of this report.

Probably already evident to the reader is the importance the CBAM attaches to the "concerns" individuals have about change. This concept of concerns grew out of research on the mental health of teachers and students (Fuller, Bown, & Peck, 1967) that began in the mid 1950's. By 1969, Fuller had established the fact that as individuals prepared for becoming teachers, they passed through three levels of concerns; concerns about self, such as their adequacy to teach; concerns about task, for instance the day-by-day tasks of teaching; and finally, concerns about impact, for example the effects of their work on students. From this theoretical work and from related research and clinical experience in the field of educational change (Hall, 1976; Rutherford, 1977), staff at the Texas R&D Center developed as one dimension of the CBAM the concept of Stages of Concern About the Innovation.

Seven Stages of Concern (SoC) a person might have about his/her involvement with an innovation were identified (see Figure 1). These seven stages incor-

## Definitions:

## STAGES OF CONCERN ABOUT THE INNOVATION\*

- 6 **REFOCUSING:** The focus is on exploration of more universal benefits from the innovation, including the possibility of major changes or replacement with a more powerful alternative. Individual has definite ideas about alternatives to the proposed or existing form of the innovation.
- 5 **COLLABORATION:** The focus is on coordination and cooperation with others regarding use of the innovation.
- 4 **CONSEQUENCE:** Attention focuses on impact of the innovation on students in his/her immediate sphere of influence. The focus is on relevance of the innovation for students, evaluation of student outcomes, including performance and competencies, and changes needed to increase student outcomes.
- 3 **MANAGEMENT:** Attention is focused on the processes and tasks of using the innovation and the best use of information and resources. Issues related to efficiency, organizing, managing, scheduling, and time demands are utmost.
- 2 **PERSONAL:** Individual is uncertain about the demands of the innovation, his/her inadequacy to meet those demands, and his/her role with the innovation. This includes analysis of his/her role in relation to the reward structure of the organization, decision-making and consideration of potential conflicts with existing structures or personal commitment. Financial or status implications of the program for self and colleagues may also be reflected.
- 1 **INFORMATIONAL:** A general awareness of the innovation and interest in learning more detail about it is indicated. The person seems to be unworried about himself/herself in relation to the innovation. She/he is interested in substantive aspects of the innovation in a selfless manner such as general characteristics, effects, and requirements for use.
- 0 **AWARENESS:** Little concern about or involvement with the innovation is indicated.

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\*Original concept from Hall, G. E., Wallace, R. C., Jr., & Dossett, W. A. A developmental conceptualization of the adoption process within educational institutions. Austin: Research & Development Center for Teacher Education, The University of Texas, 1973.

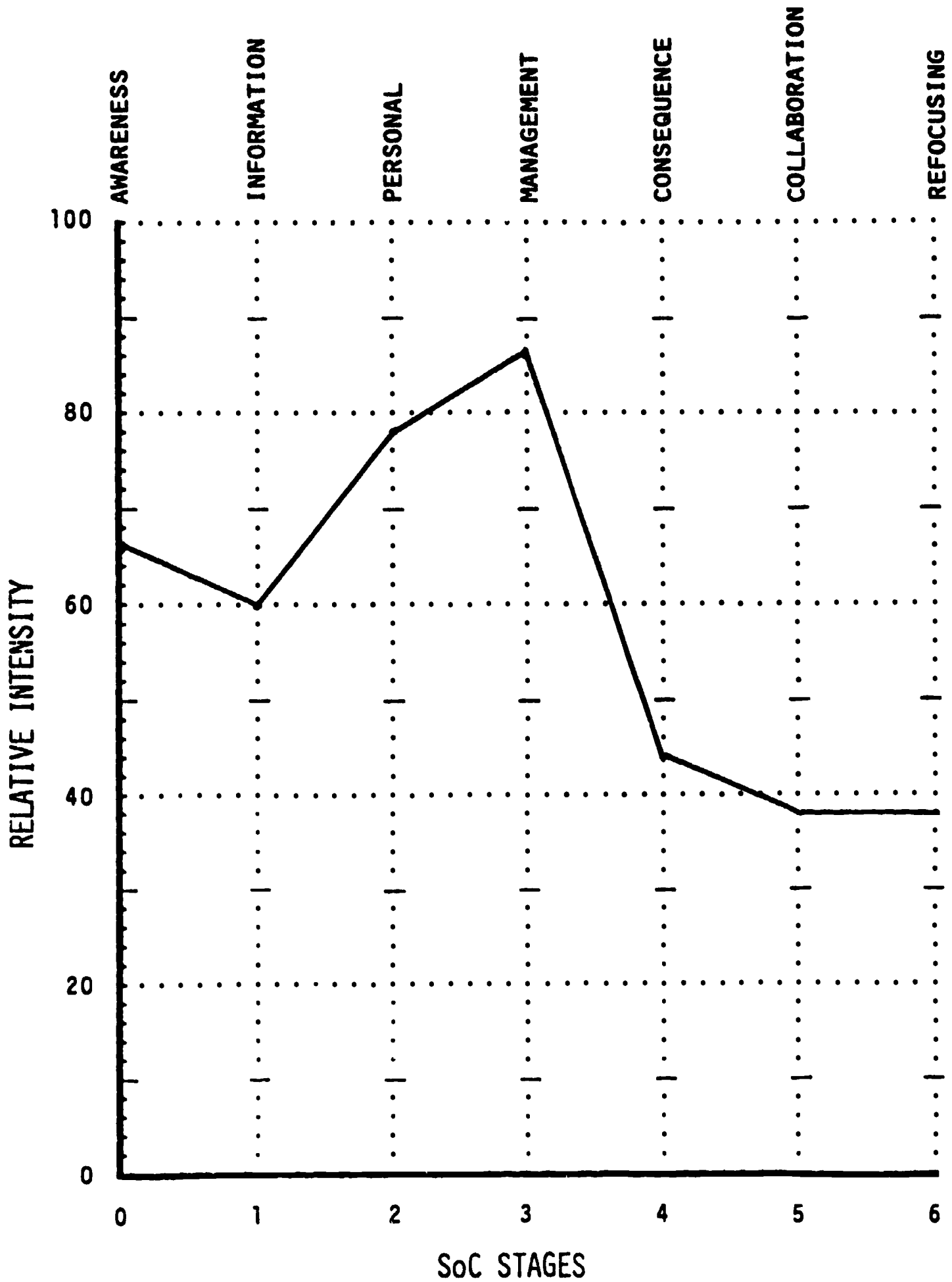
Measurement described in Hall, G. E., George, A. A., & Rutherford, W. L. Measuring stages of concern about the innovation: A manual for use of the SoC Questionnaire. Austin: Research & Development Center for Teacher Education, The University of Texas, 1977.

porate Fuller's three levels and provide some additional distinctions. Stage 2 Personal is similar to Fuller's self concerns; Stage 3 Management and task concerns correlate; and Stage 4, 5, and 6, Consequence, Collaboration and Refocusing, are representative of impact concerns. In combination, the Stages of Concern cover the time span from little awareness of the innovation, to initial use, to experienced use, and on to consideration of replacement. Subsequent techniques for assessing Stages of Concern about the innovation have been developed and research has been done in attempts to draw links between selected staff development interventions and the arousal and resolution of stage-specific concerns.

### Assessing Concerns

There are at least three ways one might determine the concerns of an individual (and group) regarding the use of a particular innovation. Perhaps the easiest, and certainly the most accurate manner, is to administer the Stages of Concern Questionnaire (Hall, George, & Rutherford, 1979). This 35-item questionnaire can be used with any educational innovation and requires only 10-15 minutes to complete. When completed, the questionnaire can readily be scored by hand or by computer and a graphic concerns profile as is shown in Figure 2 can be constructed. This profile can be developed for individuals or groups. The obvious and important advantage of such a profile is that it shows clearly and immediately which stages are highest (most intense) and those that are lowest (least intense). For example, in Figure 2 concerns about management of the innovation, Stage 3, are clearly most intense with Stage 2 Personal being rather high, also. On the other hand, the individual's impact concerns, Stages 4, 5, and 6, are relatively low. The use of the SoC Questionnaire is the most appropriate procedure for assessing concerns in research and evaluation studies.

Figure 2





A second way of determining concerns about an innovation which is quite useful for staff developers is to solicit written statements from individuals from open-ended questions. A process for doing this has also been developed and is available for use (Newlove & Hall, 1976). Basically on a sheet of paper respondents are given the simple written directions:

"WHEN YOU THINK ABOUT THE INNOVATION, WHAT ARE YOU CONCERNED ABOUT? (Do not say what you think others are concerned about, but only what concerns you now.) Please write in complete sentences, and please be frank."

They are encouraged to provide at least three statements. After collecting the papers, each statement (sometimes portions of statements) can be analyzed to see which of the seven Stages of Concern is reflected. Of course, all seven concerns' stages will likely not be expressed but those concerns that are most intense will be.

Finally, a perceptive individual who is familiar with Stages of Concern can gain much useful information about an individual's concerns through informal conversation about the innovation. Asking a casual question, such as "how are you getting along with (name of innovation)?" will often be enough to elicit expressions of concern. Continued conversation will probably draw forth additional concerns, as well as indications of what kind of concerns are most intense. Counselors and others who have non-threatening peer relationships with staff members should have little difficulty engaging in this type of conversation. Through our Concerns-Based Consulting Skills Workshop we are finding that non-counselors can also quite quickly develop proficiency in using this technique for staff development purposes.

### Change in Concerns

Fuller (1970) felt that the concerns of teachers were developmental in that early concerns must first be lowered in intensity before later concerns could

emerge (increase in intensity). Research involving the CBAM has resulted in findings regarding the seven Stages of Concern that support Fuller's belief (Hall, George & Rutherford, 1979; Hall & Rutherford, 1976). This phenomena appears to hold true for process or product innovations and whether the innovation was developed within the organization or brought in from the outside. However, movement or non-movement of concerns appears to be dependent on several factors such as administrative leadership and contextual variables. A very important function of staff development is to be aware of the changing needs of individuals and responding to them in a way that maximizes each person's potential.

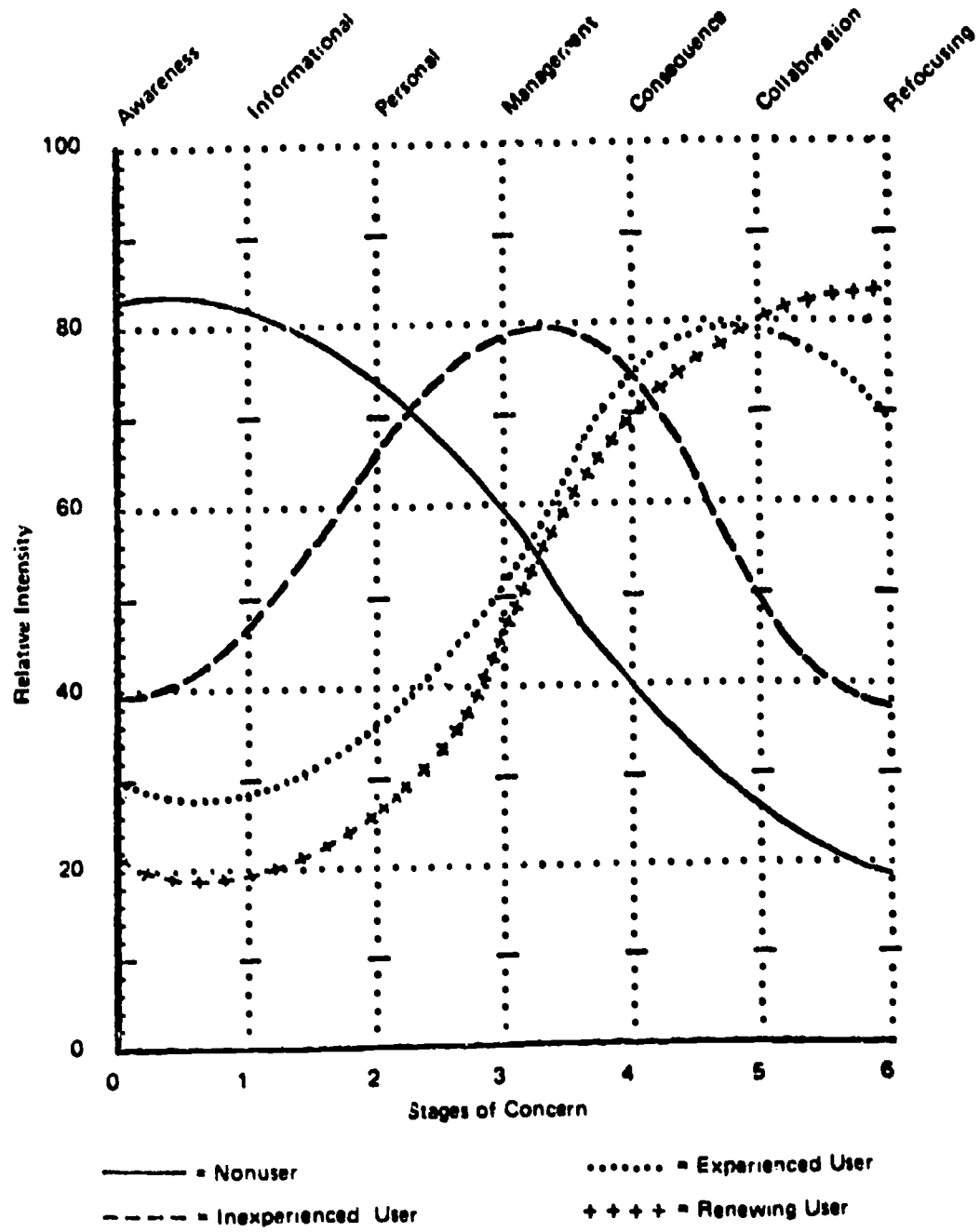
When an innovation is implemented under ideal circumstances, it is expected that the concerns of involved staff members will be developmental in the manner depicted in Figure 3. Before actually beginning to use an innovation, concerns are likely to be higher on Stages 0, 1 and 2 and lower on Stages 4, 5, and 6. At that time, individuals are interested in having more information and learning more about the innovation. Also, Personal concerns are higher as people try to determine what is expected of them and how their role in the organization will be influenced by the change.

As use of the innovation begins, Stages 0, 1 and 2 begin to drop in intensity, and Stage 3 Management concerns become most intense. Mastering time, logistical and management requirements of the innovation may be prominent concerns for quite some time. Stages 4, 5, and 6 are still not too intense, but they are increasing.

The third "wave" of the profile may be quite sometime in coming if the innovation is very complex or if the change effort is not effectively facilitated. After management concerns have been reduced in intensity concerns about the impact of the innovation, Stages 4, 5 and 6 may rise markedly. An increase

Figure 3

Hypothesized Development of Stages of Concern



in these stages will likely be accompanied by a decrease in Stages 0-3. If the innovation is inappropriate then intense impact concerns will probably not be found at any time.

In the concerns concept, there is implied both the arousal and resolution of concerns. Fuller (1970) hypothesized that arousal occurs during affective experiences and resolution through experiences which are more cognitive in nature. However, arousal and resolution of concerns are not accomplished simply through more knowledge, time or experience with the innovation. Nor can changes in concern be engineered or forced by an outside agent. Maintaining or changing concerns is, to a great extent, a dynamic of the individual. Assistance provided to individuals on the basis of their concerns can influence change, but it cannot guarantee how much or how quickly it will occur, if at all. In our studies we have observed individual educators who do not at any time reflect impact concerns although their colleagues may. Determining why this is so must await further study. One immediate implication is that staff developers and other change facilitators should not automatically assume that all their clients will have impact concerns.

#### Implications of Concerns For Change

It is most important to understand that attending to concerns is in no way intended to be a manipulation of the person. To the contrary, recognizing that concerns are inevitable and responding appropriately to them rather than ignoring or violating them is most appropriate. Staff development that is sincere in its interest in the feelings, growth, and well-being of each individual will be most relevant and personalized. For example, presenting initial staff development activities that overly focus on the value and impact of the innovation for clients to individuals who have intense personal concerns is not only ineffec-

tive and wasteful of time and effort, it can serve to further intensify their Stage 2 Personal concerns. When people are caused to believe they should be doing better than they are, or at least be attending to different aspects of the innovation than they are, it is likely they will become more anxious. This can lead to resistance or at a minimum cause unnecessary stress for the participants. Using concerns to guide staff development is not only practical, it is humanistic.

### Staff Development as Interventions

Having assessed the concerns of a client group about a particular innovation is only the first step. Something must be done to address the identified concerns. Workshops could be conducted, additional materials obtained, a clarifying newsletter circulated and experienced innovation users linked with early users. All of these actions taken to facilitate use of the innovation we would call interventions (Hall, Zigarmi, & Hord, 1979).

From a concerns-based perspective staff development activities or interventions should be designed and delivered to address assessed concerns (Hall & Loucks, 1978). But what is an intervention? Are there different kinds of interventions? How are different interventions linked to each other? How are interventions organized across an entire change effort?

These and other questions have been the focus of another set of CBAM studies which have focused on describing and analyzing the interventions that occur as change efforts unfold. One finding from this research is that different levels of interventions can be identified.

The levels range from incident interventions which are short in duration and probably aimed at one or only a few people to the overall game plan for a change effort and the larger formal and informal policies that set boundaries on the

effort. In our research these levels are being used to classify interventions based on such attributes as how many people are directly affected and how long a time period the intervention covers. Six levels from this Intervention Taxonomy are summarized in Figure 4.

In theory staff development activities should occur for all intervention levels. Yet in all too many change efforts staff development activities are limited to one or two levels (e.g., tactics such as brief orientation presentations of the materials and one day workshops). Staff developers and administrators fail to conceive of staff development as including many other change facilitating interventions ranging from the incident (e.g., informal reinforcing conversation) to policy (e.g., budgeted planning time). We hypothesize that one basic reason that so many change efforts bog down is that key decision makers do not take into account all of the interventions that must be made and interrelated in order to best facilitate change. One key role that counselors can play is to remind administrators and staff developers of the need for a thought out and adaptive "game plan" for each change effort that includes a staff development design as an integrated component. These intervention levels can serve as a useful way of planning for and monitoring staff development activities as the change effort unfolds.

### Concerns-Based Interventions

At this point the concepts of Stages of Concern and Intervention Levels have been proposed. Now the question of "What do I do when?" can be more specifically addressed. At different Stages of Concern different interventions will likely be more relevant. All levels of interventions come into play at each Stage of Concern. What will vary across Stages of Concern is the form and content of the interventions. What decision-makers, staff developers, col-

Figure 4  
Levels of Interventions<sup>1,2</sup>

- Policy Level** -- A policy is a rule or guideline that reflects, directs, and legitimizes goals, procedures, decisions, and actions of the organization and individuals within the organization.
- Game Plan Level** -- A game plan is the overall design for the interventions that is made to implement an innovation. The combination of all the major components of the innovation implementation effort make up the game plan.
- Strategy Level** -- A strategy is a major point of the design for implementing an innovation. It is based on a set of implicit and/or explicit assumptions and theory about how people and organizations function. A strategy translates assumptions and theories into action.
- Tactic Level** -- A tactic is an aggregation of incident interventions that, in combination, have an effect that is different from the effects of the individual incidents.
- Incident Level** -- An incident is a singular occurrence of an action or event. It is the smallest intervention unit.

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<sup>1</sup>An intervention is defined as an action or event or a set of actions or events that influences use of the innovation.

<sup>2</sup>Excerpted from Hall, G.E., Zigarmi, P. & Hord, S. M. A taxonomy of interventions: The prototype and initial testing. Austin: Research and Development Center for Teacher Education, The University of Texas, 1979.

leagues, clients, and others do for people should vary in form and content depending on their concerns profiles. Interventions at several levels are most likely needed at all times.

Unfortunately, staff developers and decision makers tend to overly specialize in working at selected intervention levels and inhibiting or encouraging certain Stages of Concern. As the change process unfolds, there needs to be a balance across the levels of interventions and the form and content of the interventions need to be related to the concerns of the innovation nonusers or users. Some examples of types of interventions at each level for each Stage of Concern are presented in Figure 5. After reviewing the Figure, it is easy and perhaps quite revealing for the reader to think about a change effort they are involved with and whether facilitative interventions can be identified that fit each cell in the matrix.

There are several caveats that need to be mentioned about the sample interventions in Figure 5. These interventions are representative only. Many of the interventions could be used equally well to address other Stages of Concern. It is also quite possible that in certain situations some of these interventions could lead to the arousal of, or further intensify, already aroused lower stage concerns. Theory development and questions related to the dynamics of arousal and resolution of concerns is an ongoing subject of study, but in this paper we are only providing examples of interventions that have been appropriate for relatively intense concerns at the stage identified.

A second caveat is that these sample interventions were not just plucked out of the conceptual ether. Rather, most were used as part of a comprehensive research study and three year implementation effort done in collaboration with our colleagues in the Jefferson County Colorado Unified School District (Loucks



Figure 5

Staff Development Interventions Targeted Toward Stages of Concern

Stages of Concern	Incident	Tactic	Strategies
0 Awareness	Decision-maker says use is a priority.	Several announcements in newsletters, memos and meetings are made about the innovation.	A dissemination plan is implemented that entails policy announcements, resource allocations and very general descriptive information about the innovation and how it is related to system needs.
1 Informational	Descriptive brochure is provided.	Innovation overview workshop (1-2 hours) is conducted.	Potential users are involved in planning/selection/development of the innovation.
2 Personal	Supervisor says "It is okay to have self concerns."	Meeting is held with decision-makers where resource supports and rewards for use are described.	A six-month series of pre-implementation steps including bulletins, small group meetings and initial use training are conducted to build confidence and enthusiasm for first use.
3 Management	Counselor empathizes with early user about the extra time involved in sorting things out.	A one-day "how to do it" workshop is held with content that is paced how far along the early users are.	A few experienced users are given released time during the first year of implementation to conduct "comfort and caring" sessions on a "when called" basis.
4 Consequence	A staff developer sends a recent article on a novel adaptation of the innovation.	A refinement oriented workshop is held that provides training in a technique for more flexible teaching behavior with the innovation.	A program of inservice sessions designed to add other components to innovation use is offered to select experienced users.

	Incident	Tactic	Strategies
Stages of Concern			
5 Collaboration	One users work area is changed to one that is closer to another's so that they may work together.	An organizational development workshop on teaming is offered.	Policies are changed and a special released time planning period is established.
6 Refocusing	The user takes a trip to a field site to see a possible replacement to the "old" innovation.	A few users form a study committee to explore major refinements in the innovation.	An innovation development process is initiated that will lead toward the creation of a more advanced innovation.

& Pratt, 1979). Some were pulled from other studies (Hall & Loucks, 1978) and experience (Hall, 1979).

### Implications

In this paper the concept of Stages of Concern has been proposed as a diagnostic tool for use by counselors, administrators, staff developers and other change facilitators who are responsible for the timing and delivery of staff development experiences. Levels of Intervention have been proposed as a way of classifying different kinds of staff development activities. All too frequently it appears that staff development is thought of solely in terms of workshops, rather than acknowledging the needs of clients and encompassing the broad range from brief one on one conversations to multi-year training programs. These concepts are excerpted from our research on the change process.

Any staff development experience by definition implies change and a prime source for assistance to persons included in change should be counselors.

The role of the counselor in staff development is less clear. In some settings counselors are likely to serve key roles in the design and delivery of staff development. In other instances, counselors will be recipients of staff development and in still other instances they could be side line spectators.

In all instances counselors should by their training and orientation be sensitive to the concerns of people around them. In their different roles counselor: should be highly effective at (a) training others in how to assess Stages of Concern and to design concerns-based staff development, (b) recognize Stages of Concern in themselves and others, and (c) be able to directly help others in understanding and addressing concerns.

These are key roles and competencies that all can bring to staff development experiences in their organization. Ideally these change facilitating skills can be developed in others and by specifying staff development that is concerns-based individuals and their organizations can more effectively incorporate new programs and processes that contribute to their increasing capacity and effectiveness without creating additional trauma and stress. One further consequence may be resolution of some past stresses in those situations where innovations are implemented that are truly effective and relevant.

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