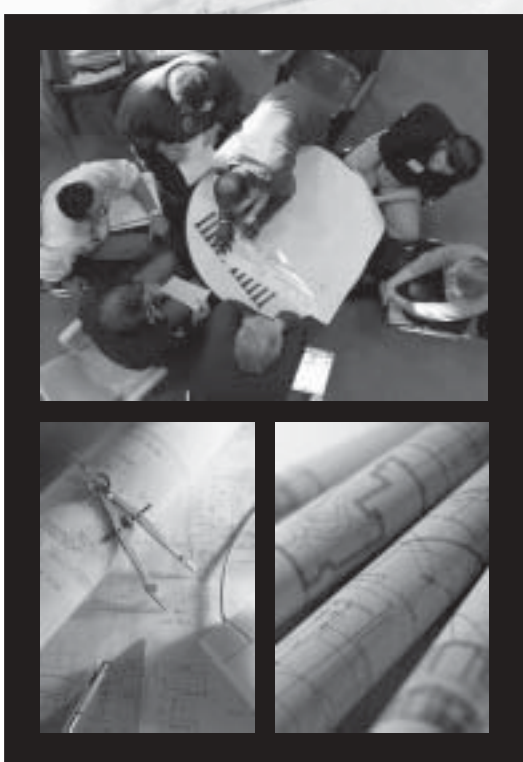




THE CHANGE BOOK *Workbook*

*A Companion to The Change Book:
A Blueprint for Technology Transfer*



The Addiction Technology Transfer Center Network
Funded by Substance Abuse and Mental Health Services Administration

Unifying science, education and services to transform lives.

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At the time of printing, Charles G. Curie, MA, ACSW, served as the SAMHSA Administrator. H. Westley Clark, MD, JD, MPH, served as the director of CSAT, and Karl D. White, EdD, served as the CSAT Project Officer.

The opinions expressed herein are the views of the ATTC Network and do not reflect the official position of the Department of Health and Human Services (DHHS), SAMHSA or CSAT. No official support or endorsement of DHHS, SAMHSA or CSAT for the opinions described in this document is intended or should be inferred.

COPY THIS WORKBOOK

We encourage you to make copies of the blank workbook pages that follow. The pages have been perforated and three-hole punched to make them easy to copy, use and store. Our hope is that you can use this workbook for multiple change initiatives and will share the workbook pages with all members of your change team. Copies are also available to download at www.nattc.org/thechangebook.

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The Change Book Recap

Now that you've spent some time immersed in the basics of technology transfer, it is time to create your own blueprint for change. The *Principles*, *Strategies*, and *Activities* outlined in *The Change Book: A Blueprint for Technology Transfer (The Change Book)* are all recapped on the following pages to help you create a winning change initiative.

A workbook is also included with space for you to apply the *Steps* (and sample questions that follow each *Step*) to your situation. We hope you'll make this workbook a starting place in creating a change plan that meets the needs of your organization and team. Remember the questions under each *Step* were based on the case study discussed in *The Change Book*. These questions may be appropriate for your own change plan, or you may need to add, delete or adapt the questions under each *Step* based on your own needs. To increase the likelihood of developing a successful change initiative, however, answer all the questions you include as completely as possible.

Also remember that some of the *Steps* may be worked simultaneously, or the order of the *Steps* may be changed to fit your needs. For your plan to succeed, however, *Steps* 1-7 should be completed before you implement your change plan in *Step* 8.

TIPS

Add or delete questions under each Step based on your needs.

Answer all questions under each Step as completely as possible.

Work Steps 1-7 prior to implementing your change initiative.

Ten Steps to Effective Technology Transfer

To change your agency or system from what it is now into what you want it to be, you'll need a blueprint to guide you. The Steps that follow provide a starting place. Some of the Steps may be worked simultaneously, or the order of the Steps may be changed to fit your needs. For your plan to succeed, however, Steps 1-7 should be completed before you implement your change plan.

Step 1 ▼

Identify the problem.

Step 2 ▼

Organize a team for addressing the problem.

Step 3 ▼

Identify the desired outcome.

Step 4 ▼

Assess the organization or agency.

Step 5 ▼

Assess the specific audience(s) to be targeted.

Step 6 ▼

Identify the approach most likely to achieve the desired outcome.

Step 7 ▼

Design action and maintenance plans for your change initiative.

→ Step 8 ▼

Implement the action and maintenance plans for your change initiative.

Step 9 ▼

Evaluate the progress of your change initiative.

Step 10 ▼

Revise your action and maintenance plans based on evaluation results.

STEPS ► STEPS ► STEPS ► STEPS ► STEPS

Principles of Effective Technology Transfer

Relevant

The technology in question must have obvious, practical application.

Timely

Recipients must acknowledge the need for this technology now or in the very near future.

Clear

The language and process used to transfer the technology must be easily understood by the target audience.

Credible

The proponents/sources of the technology must be accepted as credible by the target audience.

Multifaceted

Technology transfer will require a variety of *Activities* and formats suited to the various targets of change.

Continuous

The new behavior must be continually reinforced at all levels until it becomes standard and then is maintained as such.

Bi-directional

From the beginning of the change initiative, individuals targeted for change must be given opportunities to communicate directly with plan implementers.

Organizing Your Team

We encourage you to use a team approach from beginning to end with any change initiative. It is important to build your team with people from all levels of your agency. Your team's size will depend on the size of your organization and the particular change initiative you are implementing. Include opinion leaders and early adopters in your team.

Addressing Resistance

Resistance at all levels of the organization should be expected and will require attention. Thoroughly explain how making a change can save time, enhance skills and benefit clients.

Minimizing Resistance

- Directly address resistance
- Listen to fears and concerns
- Discuss pros and cons openly
- Educate and communicate
- Provide incentives and rewards
- Develop realistic goals
- Celebrate small victories
- Actively listen to resisters
- Actively involve as many people as possible from the beginning
- Emphasize that feedback will shape the change process
- Use opinion leaders and early adopters for training and promotion

Strategies to Use for Each Stage of Change

Precontemplation

1. Raise the awareness of this group about the approach under consideration.
2. Use a variety of media to disseminate information.
3. Make multiple attempts to disseminate information.
4. Conduct a needs assessment. Evaluate current practices and share results.
5. Recognize that people and organizations are at this stage of change for different reasons.
6. Assess the decisional balance and elicit conversation regarding the benefits versus the drawbacks about making a change.

Contemplation

1. Provide “tastes” of the topic to build interest.
2. Provide evidence for effectiveness of a recommended approach. Don’t just provide statistics.
3. Probe the group to learn their reasons for concern.
4. Build self-efficacy: a person’s belief in his or her ability to carry out or succeed with a specific task. (Treatment professionals need this as much as clients do.)
5. “Tip” the decisional balance. Help to identify more pros than cons about the recommended approach to build confidence in the initiative and move people toward change.

Preparation

1. Be sure the language and format of the information you disseminate are clear to your target audiences.
2. Assist in the development of a change plan.
3. Make sure the change can be adopted in your particular setting.
4. Remove any site-specific barriers to implementation.

Action

1. Provide information in a “user-friendly” fashion.
2. Encourage questions and problem-solving.
3. Have frequent interpersonal contact. Mentoring during this stage is important.
4. Provide ongoing monitoring.
5. Offer nonthreatening feedback.

Maintenance

1. Continue communication (updates, newsletters, Web sites, listservs, telephone trees).
2. Continue interpersonal contact.
3. Encourage communication and problem-solving.
4. Develop skills to maintain the behavior.

Strategies to Use With Multiple Levels of an Organization

Program/Organizational Level

When addressing this level, it's important to:

1. Provide evidence of how the recommended approach works.
2. Inform agencies and organizations that although financing is important, it cannot and should not be the basis for deciding whether to address a needed change. Many changes can be made with limited time and finances.
3. Secure the tangible support (financial or other) of stakeholders and funders who have policy-making authority, such as a single state agency, grantor, board, etc.
4. Acknowledge and respond to the concerns or barriers perceived by the agency or organization.
5. Develop training and diffusion *Strategies* that are suited and will appeal to each of the target groups that makeup the organization.

For additional resources on creating change plans, visit the ATTC Network Web Site.
www.nattc.org.

Practitioner/Clinical Level

When addressing this level, it's important to:

1. Provide evidence of how the recommended approach works.
2. Educate the practitioner about the approach.
3. Refer to the effectiveness of related or parallel technologies in other areas or fields.
4. Provide incentives for clinicians to use a recommended approach (peer support, financial incentives, outcomes monitoring).
5. Identify early adopters and allow them to model the new behavior.
6. Utilize a multifaceted approach to behavior change.
7. Utilize advertising and marketing to get the word out to staff.

Client/Patient Level

When addressing this level, it's important to:

1. Provide evidence of how a recommended approach works.
2. Educate the client/patient about the approach.
3. Refer to the effectiveness of related or parallel technologies in other areas or fields.
4. Utilize advertising and marketing to get the word out to clients.

Activities Idea List

Keep in mind that effective technology transfer is not one-dimensional and therefore cannot include only one activity. Some *Activities* can be implemented agency-wide, others will be used one-on-one with individuals.

Administrative/

Structural Activities

- Develop strategic plans
- Implement legal and funding mandates
- Implement policy changes
- Provide on-site technical assistance
- Provide rewards/incentives for change (intrinsic or extrinsic)

Person-to-Person Activities

- Conduct mentoring
- Encourage peer-to-peer coaching
- Provide clinical supervision
- Use early adopter influence
- Use opinion leader influence
- Utilize role playing

Educational Activities

- College courses
- Conference workshops
- Education groups within your agency
- Lectures
- Online courses
- Professional meetings
- Quizzes and examinations
- Self-directed learning packages
- Short training courses (1-5 days/topic specific)
- Workshop training sessions

Evaluation Activities

- Collect baseline data
- Conduct needs assessments
- Conduct outcome/impact studies
- Conduct process evaluation
- Develop reports

Information Dissemination Activities

- Ads and public service announcements
- Audiotapes
- Books/manuals
- Curriculum packages
- E-zines (online magazines)
- Fact sheets
- Government publications
- Internal reports with results/accomplishments
- Memos
- Newsletter articles
- Posters
- Press releases
- Professional journal articles
- Promotional flyers
- Teleconferences
- Video instruction
- Web sites

Barriers to Change

Below you'll find some of the barriers and opportunities within the system structure, policy makers, the research community, agency treatment staff, and the client population. Reflect on your own situation and add local barriers and opportunities in the spaces provided.

System Structure

The Barrier: *Federal, state and local government entities and individual agencies charged with responsibility for the prevention and treatment of substance use disorders are fragmented, don't communicate and often work at cross-purposes.*

The Opportunity: *These systems provide fertile ground for change efforts such as cross-training initiatives that improve client outcomes and increase cross-system collaborations.*

Local Barriers:

Local Opportunities:

The Policy Makers

The Barrier: *Community-based treatment agencies often receive federal, state, health insurance and private funds. These funding sources may not support or may be in conflict about funding innovative research-based treatment methods. Public or payor policies may not support the application of new scientific discoveries, especially when they challenge established and familiar practices and beliefs.*

The Opportunity: *Community organizations collaborating with researchers are ideally positioned to educate policy makers about the efficacy of research-based methodologies.*

Local Barriers:

Local Opportunities:

-continued

BARRIERS ► BARRIERS ► BARRIERS

The Research Community

The Barrier: *Most scientific research is rewarded by publication in professional journals. These journals are often not available to the clinical practice community because journal subscriptions can be costly and tend to be written to a scientific audience. Formal training for clinicians seldom includes practical lessons in using research literature to improve and change practice. Even when available, research reports typically do not meet the practical needs of frontline staff wanting to apply the findings.*

The Opportunity: *Increase the occasions for dialogue between researchers and treatment organizations to heighten awareness about the need for and benefit of collaborative relationships between the two.*

Local Barriers:

Local Opportunities:

Agency Staff

The Barrier: *Staff can be resistant to change due to many factors including: a lack of understanding the new information, a lack of incentive for change, competing priorities, funding limitations, fear of failure and a general fear of change.*

The Opportunity: *When properly addressed, opportunities may include cross-training of staff, open dialogue between clinicians and administrators about research, and a heightened awareness of improved client outcomes throughout an agency.*

Local Barriers:

Local Opportunities:

The Client Population

The Barrier: *People in drug and alcohol treatment tend to have a fairly high incidence of relapse, high levels of co-existing disorders and often face social problems such as unemployment or homelessness. This creates a population difficult to track and treat for extended periods of time.*

The Opportunity: *Because our clients face such desperate situations, they are often willing to try new treatment options.*

Local Barriers:

Local Opportunities:

BARRIERS ► BARRIERS ► BARRIERS

Your Workbook _____

Step 1 ► Identify the problem.

1. What is the issue or problem?

2. What data or other information support the existence of this issue or problem?

3. What is the current practice in your organization (for practitioners, administrators) that might be contributing to or maintaining this problem?

TIPS

Add or delete questions under each Step based on your needs.

Answer all questions under each Step as completely as possible.

Work Steps 1-7 prior to implementing your change initiative.

Use the space below to create your own questions and answers that apply to Step 1.

Step 2 ► Organize a team for addressing the problem.

We encourage you to use a team approach from beginning to end with any change initiative. It is important to build your team with people from all levels of your agency. Your team's size will depend on the size of your organization and the particular change initiative you are implementing.

1. Who is affected by the problem (practitioners, administrators, clients, family members)? Do these individuals come from multiple disciplines (social workers, treatment counselors, mental health professionals)?

2. What do each of these groups think about the problem? Is there any perceived need to change by each of these groups? What do they think about each other?

3. Who are the opinion leaders within each of these groups?

4. Who will your team members be?

5. How will you invite team members to participate in the change initiative?

6. When and where will you meet?

7. How will team members communicate (meetings, memos, listservs)?

8. How will you encourage and reward participation by team members (refreshments at meetings, recognition for participation)?

STEP 2 ► STEP 2 ► STEP 2 ► STEP 2

9. Are there people from outside your agency who should be involved in the change initiative (referral agencies, funders)?

Use the space below to create your own questions and answers that apply to Step 2.

Step 3 ► Identify the desired outcome.

Be sure when defining your desired outcome to set goals and expectations at realistic and attainable levels. If your goals are too high and are not met, staff may become resistant to participating in future change projects.

1. What does current research show to be a realistic outcome for the problem?
(Conduct a literature review in journals, on the Web, with government sources, etc.)

2. How have colleagues in similar organizations addressed the problem? What approaches have they used? What has been most effective? What outcomes have they achieved?

3. What do staff members think would be a realistic outcome for the problem?

4. Reflecting on this information, what will be your desired outcome?

Use the space below to create your own questions and answers that apply to Step 3.

STEP 3 ► STEP 3 ► STEP 3 ► STEP 3

Step 4 ► Assess the organization or agency.

1. What is the existing organizational structure and size of your agency?

2. What is the mission of the organization?

3. What type of work setting is it (medical, substance abuse treatment, mental health, freestanding clinic)?

4. What is the staff composition (administrators, supervisors, counselors)?

5. What is the education and experience level of staff?

6. What is the cultural makeup of the staff and/or clients?

7. What are some of the organizational barriers to change (funding, physical structure, organizational structure, policies)?

8. What are the organizational supports for implementing change (strong desire for better outcomes, identified opinion leaders, available funding)?

9. At what stage of change is the organization operating with regard to this change initiative (precontemplation, contemplation, preparation, action, maintenance)?

10. Where will the resources come from to provide support for the change initiative (funding, community support, internal support from counselors and clients)?

STEP 4 ► STEP 4 ► STEP 4 ► STEP 4

11. What will the adoption of this change mean at all levels of the organization? What are the benefits for administrators, supervisors and counselors?

12. What things are already happening that might lay the foundation for the desired change?

Use the space below to create your own questions and answers that apply to Step 4.

Step 5 ► Assess the specific audience(s) to be targeted.

1. Who will be targeted for the desired change (administrators, supervisors, counselors, clients)?

STEP 4 ► STEP 4 ► STEP 5 ► STEP 5

2. Are there any incentives to change (for counselors, supervisors or the entire organization)?

3. What are the barriers to change (for counselors, supervisors or the entire organization)?

4. At what stage of change are *each* of these target audiences (administrators, supervisors, counselors, clients)?

5. How will the practice(s) of those involved be affected by change?

6. Can we identify the opinion leaders within each of these target groups?

7. What additional support will the target audience(s) need to bring about change (e.g., training, policy changes, financial, additional personnel)?

Use the space below to create your own questions and answers that apply to Step 5.

Step 6 ► Identify the approach most likely to achieve the desired outcome.

1. What approach does research indicate to be effective in addressing the problem? (Again, conduct a literature review in journals, on the Web, with government sources, etc.)

2. How have colleagues in other organizations addressed similar problems? What has been most effective? What approaches have they used?

STEP 5 ► STEP 5 ► STEP 6 ► STEP 6

3. What do staff members think is an appropriate approach to reach the desired outcome?

4. Reflecting on the information obtained, what is the desired approach you have identified?

5. What are your reasons for selecting this particular recommended approach?

Use the space below to create your own questions and answers that apply to Step 6.

Step 7 ► Design action and maintenance plans for your change initiative.

1. Based on the stages of change, what *Strategies* and *Activities* do you think will work best for each organizational level you plan to address?

2. What is the timeline for your change initiative?

3. What are the resources needed to implement these *Strategies* and *Activities* (e.g., funding for training, staff time, paper and printing)?

4. Who will be responsible for implementing the specific *Strategies* and *Activities*?

5. How will the logistics be handled (e.g., memos, gathering baseline data, scheduling training)?

6. How will you collect, analyze and report baseline data? Will you use an assessment? Do you have a computer? What resources are available for this process?

7. How will you include those affected by the change in the change process (invite counselors into planning sessions, solicit client opinions, invite input from community partners, board members, family members)?

8. What evidence will be presented to the target audience(s) to support the desired change?

9. How will the pros and cons of adopting the recommended approach – perceived and real – be presented (to clients, practitioners and administrators)?

10. What *Activities* will be employed to maintain the technology transfer initiative (quarterly progress meetings, monthly reports on progress toward outcomes)?

11. What resources are needed to implement and maintain this initiative?

Use the space below to create your own questions and answers that apply to Step 7.



Remember to Work Steps 1-7 BEFORE
you proceed to Step 8.

Step 8 ► Implement action and maintenance plans for
your change initiative.

Now it is time for you to put Steps 1 through 7 into action!

STEP 7 ► STEP 7 ► STEP 8 ► STEP 8

Step 9 ► Evaluate the progress of your change initiative.

You'll use information collected in Step 9 to determine if changes to your action and maintenance plans need to be made (Step 10).

1. As you begin implementing the change initiative, what is the initial feedback from your target audience(s)? What is the reaction to print materials, training, online courses, etc.?

2. From the client, staff or administrative perspective, what adjustments need to be made to your plan?

3. Have the objectives of your change initiative been met? What is the impact of your efforts?

4. How will you share the results of your change initiative with frontline staff, supervisors, administrators and the research community?

5. How will you celebrate successes/results and support continuous feedback?

Use the space below to create your own questions and answers that apply to Step 9.

Step 10 ► Revise your action and maintenance plans based on evaluation results.

Now it is time to revise your current change plans based on the information you collected in Step 9. Once you have decided which revisions to make, you can continue the change process.

1. How will you incorporate evaluation feedback into your plans?

2. How will you address resistance to the change initiative?

Use the space below to create your own questions and answers that apply to Step 10.

STEP 10 ► STEP 10 ► STEP 10 ► STEP 10



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