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
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.
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.
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.
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 resistors
- 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.
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.

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.

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

Local Barriers:  
Local Opportunities:

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:

Local Barriers:  
Local Opportunities:

Local Barriers:  
Local Opportunities:

-continued
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: ______________________________________

____________________________________ ______________________________________

____________________________________ ______________________________________
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)?

___________________________________________________________________________

___________________________________________________________________________

___________________________________________________________________________
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.)

___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________

Step 2  ▶  STEP 2  ▶  STEP 3  ▶  STEP 3
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 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)?

___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________
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?

___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________
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)?

___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________

STEP 7 ▶ STEP 7 ▶ STEP 7 ▶ STEP 7
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 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
Caribbean Basin and Hispanic ATTC
Puerto Rico, U. S. Virgin Islands
cbattc.ucaribe.edu

Central East ATTC
Delaware, District of Columbia,
Kentucky, Maryland, Tennessee
www.ceattc.org

Great Lakes ATTC
Illinois, Indiana, Michigan, Ohio, Wisconsin
www.glattc.org

Gulf Coast ATTC
Louisiana, Mississippi, Texas
www.utattc.net

Mid-America ATTC
Arkansas, Kansas, Missouri, Oklahoma
www.mattc.org

Mid-Atlantic ATTC
Maryland, North Carolina, Virginia, West Virginia
www.mid-attc.org

Mountain West ATTC
Colorado, Montana, Nevada, Utah, Wyoming
www.mwattc.org

ATTC of New England
Connecticut, Maine, Massachusetts,
New Hampshire, Rhode Island, Vermont
www.attc-ne.org

Northeast ATTC
New Jersey, New York, Pennsylvania
www.neattc.org

Northwest Frontier ATTC
Alaska, Hawaii, Idaho, Oregon,
Pacific Islands, Washington
www.nfattc.org

Pacific Southwest ATTC
Arizona, California, New Mexico
www.psattc.org

Prairielands ATTC
Iowa, Minnesota, Nebraska,
North Dakota, South Dakota
www.pattc.org

Southeast ATTC
Georgia, South Carolina
www.sattc.org

Southern Coast ATTC
Alabama, Florida
www.scattc.org

ATTC National Office
www.nattc.org