

CHAPTER 3 THEORETICAL FRAMEWORK

'By approaching adoption through the eyes of the adoptees, the CBAM provides a developmental perspective on how an individual's concerns influence his or her integration of an innovation'
(Straub, 2009:632).

3.1 INTRODUCTION

The theoretical framework selected for understanding secondary school teachers' conceptualisation and implementation of the AIDS Action Programme for Schools (AAPS) is Hall and Hord's (1987:2001) Concerns-Based Adoption Model (CBAM). The Concerns-Based Adoption Model provides a different perspective on facilitating adoption of change or an innovation. It is about the parallel process of change that teachers go through whenever they engage on something new or different (Horsely & Loucks-Horsley, 1998:1). The theoretical framework assumes that teachers have concerns that need to be addressed in order for them to proceed to higher levels of curriculum implementation, during which process they may ignore, resist, adopt and adapt change depending on the support given to them (Sweeny, 2003; 2008:3). In this study, the concerns which were investigated were related to the conceptualisation, teaching and adoption of the AAPS in classrooms at secondary school level as an education innovation.

3.2 CONCERNS-BASED ADOPTION MODEL

The Concerns-Based Adoption Model is a theory specifically developed for teachers. CBAM is primarily used in reference to the teaching profession, although it can be used outside academic settings (Straub, 2009:634). The theory is largely concerned with describing, measuring, explaining and understanding the process of change experienced by teachers attempting to implement the curriculum material and instructional practices (Bellah & Dyer, 2007:68; Sweeny, 2003:1; Anderson,

1997:331). The model describes how people develop as they learn about an innovation in curriculum change and implementation (Sweeny, 2008:3). The Concerns-Based Adoption Model views the teacher as the focal point in school curriculum change and implementation efforts, and simultaneously acknowledges and attends to the social and organisational influences (Loucks-Horsley, 1996:1). While other models treat curriculum change and implementation as an event, the CBAM treats curriculum change and implementation as a process. Actually, the Concerns-Based Adoption Model is a complex, multi-part system, of which the *Stages of Concern*, *Levels of Use* and *Innovation Configurations* are the three parts. The Stages of Concern describe feelings that individuals experience during implementing an innovation, while Levels of Use describe individuals' behaviours as they experience and implement curriculum change. The third component – Innovation Configurations – spells out what the new programme or practice will look like when it is in operation (Hall & Hord, 2001).

Designed as a diagnostic but not prescriptive tool, the three components of the Concerns-Based Adoption Model inform the facilitator as to how to best facilitate the adoption of an innovation (Straub, 2009:634). The CBAM does not describe the whys of an innovation adoption but, rather, it deals with how understanding concerns of a population (of teachers) can facilitate innovation adoption.

The Concerns-Based Adoption Model also focuses on innovations. Straub (2009:626) says that at its broadest sense, an innovation is any idea new to a population. Rogers (1995:11) defines an innovation as an idea, a practice or an object perceived as new by an individual adopting it. According to Straub (2009:626) it does not matter if the idea, practice or object is objectively new; rather it is the perception of novelty that is experienced. In addition, an innovation also does not necessarily mean that something is better or that the new idea is more beneficial to an individual. Whereas innovation can refer to something abstract, like an idea it can also mean something concrete (Straub, 2009). This study focuses specifically on implementation of the AAPS at secondary school level as a particular type of innovation of interest.

Scholars (Hall & Hord, 1987; 2001) writing from the perspective of the Concern-Based Adoption Model proceed from the assumption that teachers, as the relatively

autonomous practitioners of education at the level where it really happens are key adopters of concern. Hence, the Concerns-Based Adoption Model is an exceptionally powerful tool for diagnosing teachers' implementation efforts by tracking the progression of adopters' concerns and their behaviours related to innovation use. Policy makers have historically tended to design policy, curriculum implementation and professional development activities based on skills and knowledge they assume teachers have and/or need, rather than allowing teachers to identify their needs and concerns when designing new policy and programmes (Vaughan, 2010:1).

Research suggest that successful implementation of programmes depends on teachers' participation and comfort level of the initiative. The Concerns-Based Adoption Model reveals that at the early stages of an innovation (such as the AAPS), teachers' concerns tend to be more personal. As personal concerns are resolved, teachers tend to be more concerned about the application, task and impact of the programme (Vaughan, 2010). Precisely the CBAM assumes that change is a process that follows a seven-stage developmental sequence regarding the concerns that teachers have when an innovation (such as AAPS) is adopted. Based on these premises, the Concerns-Based Adoption Model emphasises the teacher and the innovation as the focus (Hall & Hord, 2001).

Hall and Hord (1987:11; 2001) characterise teachers and principals in an education system as change facilitators. A change facilitator might also be a developer involved in introducing a particular educational reform. As innovation users and non-users, teachers need to be probed using two diagnostic tools. The tools relate to user Stages of Concern and Levels of Use, as measures to match resources with the needs of the teachers who are the frontline implementers of change (Bellah & Dyer, 2007; Sweeny, 2003). Within the context of the CBAM, teachers need guidance for them to understand, adopt and adapt change. The Concerns-Based Adoption Model focuses on two facets of an individual's developmental growth in relation to an innovation (such as the AAPS in the case of this study).

Hall and Hord (2001) and Joerger (2002) clearly point to the inequality of investment in people, time, and resources as they pertain to development and implementation of educational innovations. Inasmuch as policy makers and curriculum developers are eager to get an innovation in the hands of teachers, most resources are allocated to

development (Bellah & Dyer, 2007:69). Fewer resources and care are provided to the implementation and monitoring of change, often relegating the change to failure status when formative and summative evaluations are performed, and teachers report non-use of the innovation (Bellah & Dyer, 2007:69). According to Loucks-Horsley (1996), without ongoing resources, facilitator support and continuous professional development, sustained use or implementation of the innovation is questionable. I agree with the observations by Bellah and Dyer (2007:6) and Loucks-Horsley (1996) that implementation of innovations require conducive environments, care and on-going support. The reason being that in the Zimbabwean context the gains of once off professional development, support and care can be easily eroded by the exodus of teachers through retirement and the search for better conditions of service (greener pastures) as well as moving in of new teachers who do not have requisite knowledge of the policy and curriculum requirements of the AAPS from Teachers' Colleges.

3.2.1 CONCERNS-BASED ADOPTION MODEL'S BASIC ASSUMPTIONS

The goal of Hall and Hord's (1987, 2001) Concerns-Based Adoption Model is to ease the problems as well as diagnose group and individual needs during the policy and curriculum adoption process so that the innovation would be more easily facilitated. By addressing affective and cognitive concerns of teachers, the CBAM can ease the change process (Straub, 2009:633). The CBAM sets forth several assumptions and assertions based upon the implementation of innovations in school settings. These assumptions form the basis of the three components of the Concerns-Based Adoption Model already mentioned in paragraph 3.2: Stages of Concern (SoC), Levels of Use (LoU) and Innovation Configurations (IC).

The following six explicit assumptions form the basis of the Concerns-Based Adoption Model established for observing and facilitating the process of policy and curriculum change and implementation (Straub, 2009:633; Dirksen & Tharp, 1997:1065; Hall & Hord, 1987):

1. Change is a process, not an event and it takes time to institute change;
2. Individuals accomplish change. The individuals must be the focus if change is to be facilitated and institutions (such as schools) will not change until their members change;

3. The change process is extremely personal experience and how it is perceived by the individual will strongly influence the outcome;
4. Change involves developmental growth. That is, individuals experiencing new practice progress through various stages regarding their emotions and capabilities resulting to the innovation;
5. Change is best understood in operational terms. The availability of a teacher-centred diagnostic approach can enhance the individual's facilitation during curriculum implementation or/ and staff development; and
6. The focus of facilitation should be on individuals, innovations and context. In addition, people responsible for the change process need to be monitored constantly.

Consistently, the Concerns-Based Adoption Model addresses three basic assumptions. First, the theory focuses on the individual's concerns about the innovation or change. In the case of this study, it refers to the teacher's concerns about the AAPS as a subject area. Second, it addresses the particular manner in which the innovation is delivered or implemented (how the AAPS) is implemented by teachers. Lastly, the CBAM looks at the adaptation of the innovation to the individual teacher (Hall & Hord, 2001). Figure 3.1 shows the Concerns-Based Adoption Model as a road map to policy and curriculum implementation. In the case of this study, it acts as a basis in understating the teachers' conceptualisation and implementation of the AIDS Action Programme for Schools.

The Concerns-Based Adoption Model Road Map indicated in Figure 3.1 clearly shows that since curriculum change and implementation is process-oriented, individual teachers respond differently. Regarding this study, the teachers do implement the AIDS Action Programme for Schools at different paces, stages and levels. Some teachers move fast to adopt and adapt curriculum implementation at higher stages and levels of the CBAM while others trail behind at low stages and levels. Those teachers operating at high levels act as facilitators in encouraging others to emulate effective practice. Like travellers on a road, as the teachers' concerns are resolved through support by policy makers, school management, professional development and in-service training, they move on to higher Levels of Use and attainment of effective implementation of the subject area in their classes. The situation is visualised as people travelling on a road towards a common

destination, who are at different points on the journey, with some well advanced, some in the middle while others are at the starting point as indicated in Figure 3.1.



Figure 3.1: Concerns-Based Adoption Model Road Map (Adapted from WestEd 2000:11)

An analysis of the Concerns-Based Adoption Model's assumptions implies that since change is a process and not an event, it is a highly personal experience. Hence, interventions (such as the AAPS) must be related to the teachers first and the innovation second. In Zimbabwe, the Ministry of Education, Sport, Arts and Culture, and school management's (facilitator) role is to clarify what is expected of the teachers, assess and pay attention to teachers' concerns during implementation of the subject area. The facilitators should also match support and resources to teacher's subject implementation needs in the stage of change. As indicated in figure 3.1 above, there is a need for a clear vision of an innovation so that it acts as a road map to successful implementation of the innovation. Teachers have to be motivated by school management and knowledgeable colleagues in order for them to embrace

an innovation such as the AIDS Action Programme for Schools and implement it in their classrooms.

Designed as a diagnostic but not prescriptive tool, the Concerns-Based Adoption Model helps inform the change facilitator (school management) as to how to best facilitate the adoption of an innovation. The Stages of Concerns address the intensity of the feelings and perceptions that the individual teachers adopting policy and curriculum implementation express. The Levels of Use measure addresses behaviours related to how the individual implement or use the innovation such as the AIDS Action Programme for Schools in the case of this study. Lastly, Innovation Configurations requires the development of word maps that describe the operational components of an innovation and how each can be adapted, re-invented, or in some cases mutated (Dirksen & Tharp, 1997:1065; Hall & Hord, 1987).

3.2.2 STAGES OF CONCERN (SoC)

The Stages of Concern is a framework that focuses on individual characteristics and pertains to teacher attitudes about curriculum change and implementation (Straub, 2009:634; Anderson, 1997:335). SoC focus on the affective dimension, how teachers feel about doing something new or different, and their concerns as they engage with a new programme or practice (Horsely & Loucks-Horsely, 1998:1). It describes the feelings and motivations a teacher might have about a change in curriculum and/or instructional practice at different points in its implementation (Anderson, 1997:334). Stages of Concern involve the concerns teachers have as they progress through the adoption process. According to Anderson (1997), Stages of Concern represent a developmental progression in implementing an innovation (such as the AAPS). Hall and Hord (2001) suggest that the stages are not mutually exclusive – teachers may show concerns of all stages at any given point during the innovation implementation process. In fact, many teachers do not reach the highest Stages of Concern. The Stages of Concerns are also not hierarchical, and as a teacher moves out of one stage, he or she still may have concerns consistent with previous stages (Straub 2009:634) The concept of ‘concerns’ is defined as the composite representation of the feelings, preoccupation, thought and consideration given to a particular issue or task (Hall & Hord, 2001). The process of change can be more successful if the

‘concerns’ of the individual teacher as identified in the Concerns-Based Adoption Model, are considered.

In this study, the Stages of Concern of the CBAM relate directly to how secondary school teachers feel about the educational innovation the AIDS Action Programme for Schools, which they are tasked to implement (Hall & Hord, 2001). The SoC are seven stages of feelings and perceptions experienced in a change process (Anderson, 1997:334). Stages of Concern have three phases. The three phases are: self-concerns, task concerns and impact concerns. These three stages are expanded into seven dimensions of concerns that can vary in intensity. Self-concerns consist of three stages: Stage 0 – Unconcerned/Awareness; Stage 1 – Informational; and Stage 2 – Personal. Task concerns are Stage 3 – Management; and Impact concerns are in Stage 4 – Consequence; Stage 5 – Collaboration; and Stage 6 – Refocusing. Table 3.1 below clearly shows the three phases and seven Stages of Concern.

Table 3.1: CBAM Phases and Stages of Concern (Adapted from Hall & Hord, 1987:63)

		Phases and Stages of Concern	
		Stages of Concern	Expressions of Concern
IMPACT		Stage 6: Refocusing	I have some ideas about something that would work even better.
		Stage 5: Collaboration	I am concerned about relating what I am doing with what my co-workers are doing.
		Stage 4: Consequence	How is my use affecting clients?
TASK		Stage 3: Management	I seem to be spending all of my time getting materials ready.
SELF		Stage 2: Personal	How will using it affect me?
		Stage 1: Informational	I would like to know more about it.
		Stage 0: Awareness	I am not concerned about it.

The Unconcerned or Awareness stage looks at teacher involvement with the innovation. The Informational stage focuses on gaining more information about the innovation such as general characteristics, effects, components and requirements for (AAPS) use. The Personal stage deals with how the innovation relates to the individual teacher (that is, role, decision making, consideration of potential conflict or lack of success). The Management stage involves the mechanics of using/implementing or integrating the innovation. The Consequence stage focuses on the effects or impact of the innovation on learners. The Collaboration stage involves coordinating efforts in using the innovation with others. Lastly, the Refocusing stage emphasises the exploration of other ways to utilise the innovation in a more effective and efficient way (Hall & Hord, 2001).

The stages span the areas of little concern, knowledge, or involvement in an innovation to a teacher's focus on further exploration of more universal benefits or alternative forms of the innovation (Bellah & Dryer 2007:69; Hall & Hord, 2001). Sweeny (2003:1) says that the Stages of Concern range from early concerns about self (What is it, and how does it affect me?), to concerns about task (How can I best manage the innovation?) and finally concerns about impact (How does the innovation affect my students and me). These three are landmarks or critical stages of concern. According to Wills (1992:82) the CBAM recognises that while a person's focus of concern may shift from one stage to another, it does not indicate that the previous stage of concern is alleviated.

The Stages of Concern profile graphically represents the relative intensities of each of the seven stages of concern. The profile pattern, taking note of the highest peaks, characterises the concerns of a nonuser, inexperienced user, or a renewing user. The shape of the concerns profile typically changes as the user moves through the innovation implementation process shifting from an emphasis on self-concerns, to task, to impact concerns (Vaughan, 2010).

The Stages of Concern have major implications for teachers' practice. They point out the importance of identifying where teachers are and addressing their concerns at the time, they indicate them (Hall & Hord, 1987; 2001). Policy makers and school management tend to focus on student learning and outcomes before teachers are comfortable with an innovation and its components, such as objectives, content and

strategies (Loucks-Horsley, 1996:1). It implies that they focus on how-to-do-it before addressing teacher self-concerns. Monitoring of teacher concerns and professional development should be seen as key to effective policy or curriculum implementation.

Further, the Concerns-Based Adoption Model emphasises the importance of paying attention to a sufficient period during implementation of an innovation, in order for teacher concerns or challenges to be addressed (Newhouse, 2001; Loucks-Horsley, 1996). This is because it takes time for teacher concerns to be resolved, especially when teachers are implementing a new curriculum for the whole year where new approaches to teaching are expected and when each topic in the innovation brings new surprises (Sweeny, 2008; Hall & Hord, 2001).

Figure 3.2 illustrates the stages and typical expressions of concerns, which teachers experience about a curriculum innovation ranging from the lowest stage Unconcerned²⁸ or Awareness to the highest stage Refocusing. Through the seven Stages of Concern, teachers go through the process of ignoring, resisting, adopting and adapting change based on their understanding of the innovation and support given (Hall & Hord, 2001).

In the three lower stages, which focus on oneself, a teacher uses 'I' and 'me', as in 'I am frustrated' (Sweeny, 2003). During these stages, a teacher experiencing the change may lack awareness about the innovation and seek information. If the teachers fail to acquire sufficient information about the innovation, they may ignore or resist adopting it. The middle stage – Management – that is task-oriented focuses on mastery of the tasks. The teacher may use 'it' or a reference to the activity and not the self. For example, a person struggling at the management stage could use a statement like 'Prioritising my use of time and managing paper work is killing me' (Sweeny, 2003; 2008:3). At the management stage, the teacher has some understanding of the innovation and has adopted it, but is still facing some implementation challenges. In the upper Stages of Concern, which focus on result and impact of the innovation, a clue is that the teacher might make statements, which refer to clients, protégés or participants who receive the benefits of the innovation. For example, the teacher might say, 'The students are really learning and showing

²⁸ *Unconcerned* and *Awareness* are terms used to describe the lowest stage on the Concerns-Based Adoption Model. The two terms are used interchangeably in this thesis.

positive attitudes and behaviour change since I started teaching HIV, AIDS and Life Skills education in my class.'

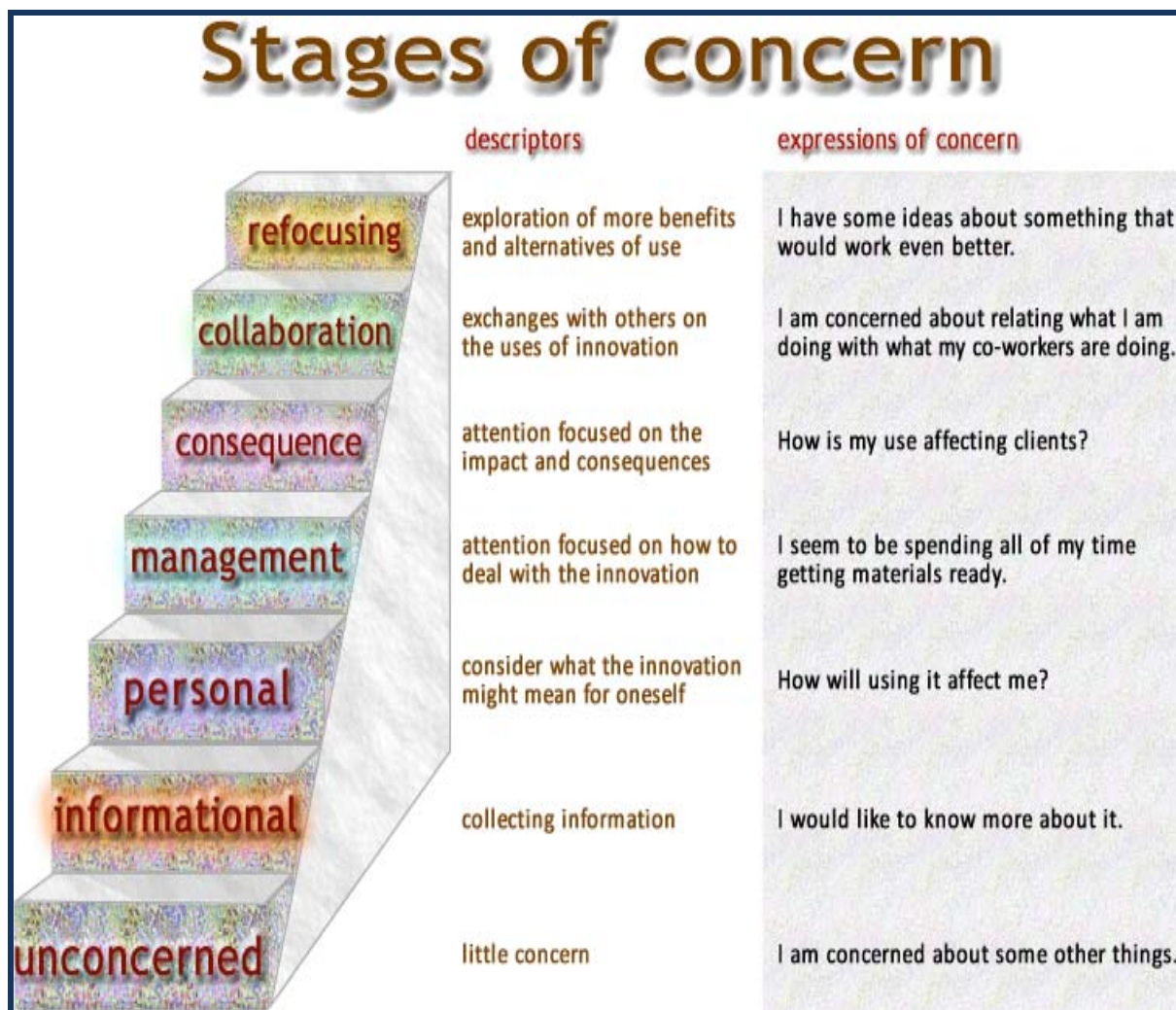


FIGURE 3.2: Stages and Expressions of Concern (Adapted from Hall & Hord, 2001)

As indicated in Figure 3.2, during the Unconcerned or Awareness stage teachers have little concern and knowledge about or interest in the AAPS – the innovation (Anderson, 1997:334). The AIDS Action Programme for Schools is seen not to be affecting the teachers at this stage. Hence, little involvement with the innovation AAPS is indicated. In the second stage, Informational, teachers have general or vague awareness of the AIDS Action Programme for Schools and its components. Teachers may begin some information seeking to gain additional knowledge about the subject area. The teacher is interested in learning more about the AAPS and the implications of its implementation. The person seems to be unworried about self in relation to AAPS – the innovation or change (Straub, 2009:635). Hall and Hord (2001) poses that in implementing an innovation, the teacher is interested in

substantive aspects of the innovation in a selfish manner such as general characteristics, effects and requirements for use. The Personal stage typically reflects strong anxieties about the teacher's ability to implement the AIDS Action Programme for Schools, the appropriateness of the curriculum, and the personal cost of getting involved (Anderson, 1997:334). Teachers focus on how a particular innovation, the AIDS Action Programme for Schools, will change the demands or conflict with existing understanding of what they do (Straub, 2009). An individual is uncertain about the demands of the innovation, his inadequacy to meet those demands and his role with the innovation.

The Management stage is reached when the teacher begin to experiment with implementation of the AAPS. At this stage, teacher concerns intensify around the logistics and new behaviours associated with putting the change into practice (Straub, 2009:635; Anderson, 1997:334). Issues related to efficiency, organising, managing, scheduling and time demands are utmost important to the teacher. At the Consequence stage, teachers' concerns focus predominantly on the impact of the AAPS on students in their classrooms and on the possibilities for modifying the innovation or their use of it to improve its effects. Hall and Hord (2001) contend that at this stage attention focuses on relevance of the AAPS for students and changes needed to increase student outcomes. The high stage – Collaboration, reflects teacher interest in working with other teachers in the school to jointly improve the benefits of the AAPS implementation for learners.

At some point in the change process, teachers may reach the highest stage – Refocusing. At this stage, the teacher is thinking about making major modifications in the use of the innovation, or perhaps replacing it with something else (Anderson, 1997:334). It enables teachers to begin to have concerns about how they compare to their peers and how they can work with their fellow teachers on an innovation – the AAPS. The focus is on partnership, coordination and cooperation with others regarding use of the innovation. In the last stage – Refocusing, teachers' concerns focus on how to improve implementation of the AAPS – the innovation (Straub, 2009:635). Teachers explore more universal benefits from the innovation, including the possibility of major changes or replacement with a more powerful alternative for effective curriculum implementation. The second major dimension of the Concerns-Based Adoption Model is the Levels of Use of an innovation.

3.2.3 LEVELS OF USE (LoU)

The CBAM's Levels of Use focus on general patterns of teacher behaviour as they prepare to use, begin to use, and gain experience implementing a classroom change (such as AAPS). LoU describes the behavioural dimensions of change, for example, what teachers actually do in the classroom when making the transition from teaching one way to teaching differently (Horsley, & Loucks-Horsley, 1998:2). Progression from one level to the next is marked by key decision points and corresponding behaviours in several domains: acquiring information, assessing, sharing, planning, status reporting, performance and knowledge (Anderson, 1997:335). Levels of Use illustrate how performance changes as an individual becomes more familiar with an innovation and more skilful in using it. That is, Levels of Use or practice corresponds with teacher behaviour in relation to the educational change in question. Hall and Hord (2001) outline eight levels as indicated in Table 3.2 at which a teacher is positioned in terms of the extent to which the innovation is used or implemented. The Levels of Use are: Non-use (0), Orientation (1), Preparation (2), Mechanical use (3), Routine (4a), Refinement (4b), Integration (5), and Renewal (6). Newhouse (2001) argues that these levels are the sequence through which a teacher passes during the change process, as he or she gains confidence in adopting educational change. Hall and Hord (1987) posit that the eight levels show how a teacher adapts to implementing an innovation starting from a low level of adoption, Mechanical use to the highest level Renewal.

The Level 0 – Non-use reflects a state in which the teacher has little knowledge of the change and no plans for its implementation. A teacher enters Level 1, Orientation, when he made a decision to implement it (Anderson, 1997:335). At level 2, Preparation, a teacher is actively preparing to put the change into practice, but has not actually begun to implement it in the classroom. At Level 3, Mechanical, the teacher begins adopting and implementing the change (such as AAPS). At this level, the teacher is struggling with the logistics of implementation and the acquisition of requisite information, new content and teaching skills. At this level, teacher decision making is oriented towards making the innovation more manageable and easy to implement (Anderson, 1997:335). In other words, changes in innovation use are teacher-centred. Hall and Hord (1987) possess that a teacher who establishes a pattern of regular use, and who makes few changes and adaptations in use of the

innovation, is said to have attained Level 4a – Routine use. According to Hall and Hord (2001), most teachers settle in at a Routine level of use. Some, however, may actively assess the impact of the innovation on their students and initiate changes in the innovation or their use of it on this basis and reach Level 4b – Refinement (Straub, 2009). At Level 4b a teacher's adoption to changes in innovation use are student-centred. Level 5 – Integration, describes a state in which teachers collaborate with other teachers to make changes in implementation for the benefit of their students (Hall & Hord, 2001). As viewed by Anderson (1997:335) during integration, teacher actions now extend to the impact of implementation beyond their own individual classrooms. Eventually, at Level 6, some teachers begin to explore alternative practices to the innovation.

Anderson (1997:335) espouses that in line with the Stages of Concern, the CBAM's Levels of Use schema represents a possible, not a necessary, developmental progression in teacher behaviours and classroom practice. It focuses on the implementation of a specific change in practice. According to Anderson (1997), teachers often engage in Orientation behaviours to learn about promising innovations, but do not implement everything that they are tasked to do. Teachers may decide to abandon new policies, curricula or practices while still at a Mechanical level of use, due to reasons such as lack of assistance, poor curriculum and lack of resources. Hall and Hord (2001) observe that teachers who attain a Routine level of use in implementing new practices often continue using those practices without active modifications in implementation for the benefit of the teacher and students. Consequently, what level of use a teacher progresses to in implementing change is depended on the interaction between a number of factors such as: teacher norms, innovation characteristics, implementation assistance, resources, time, experience with implementation and administrative pressure and support.

The Concerns-Based Adoption Model shows that individuals first adopt and use an innovation at Mechanical level (Level 3) and Management stage (Stage 4). During this time, the teachers' planning is short-term and their organisation and coordination of the innovation are disjointed. Experience and familiarity with the innovation move the teacher to Routine level of use and Refinement where changes are made based on the needs of students. This is where a teacher is able to adapt the innovation in the implementation process. The CBAM shows that when change is well planned,

experienced users develop more concerns at the Consequence, Collaboration and Refocusing stages (Loucks-Horsley, 1996; Sweeny, 2003). According to Sweeny (2003) once teachers attain the collaboration level, they know the value of the innovation, and given the opportunity and time, will continue to give collaborative support to their colleagues in change agendas. These behaviours are consistent with a positive response to policy and curriculum implementation. In addition, the practice that teachers who are the agencies of change, continue to develop to effectiveness over time, ensures success in reforms.

According to Hall and Hord (1987; 2001), Levels of Use of an innovation also change in predictable ways. Generally, individuals develop from Level zero, Non-use, through to Routine use at Level 4a up to Renewal, which is Level 6. At that point, individuals may move to any of the higher levels, back to Level 3, Mechanical uses, or may remain at the Routine level indefinitely. The knowledge about how concerns and levels of use of teachers involved in an implementation effort are likely to develop over time can equip policy drivers and school management with a guiding framework. The framework enables the policy and programme initiators to plan and support interventions.

Lastly, the Concerns-Based Adoption Model acknowledges that it is often the case that once teachers' practice becomes routine, they do not progress to higher levels. This could be due to lack of time and space, which will limit them to reflect whether their pedagogical practice is congruent with policy expectation and reform objectives (Hope, 1997:147; Kember & Mezger, 1990:50). According to Hope (1997), there are psychological factors to consider when an educational innovation (such as AAPS) is introduced to teachers, specifically the effects of learning to use the innovation. Additionally, Hall and Hord (2001) observed that teachers face the situation of having to implement innovations with limited usage instruction, and without a clear understanding of the innovation's purpose or their role in what they are asked to do. As a result, teachers motivated to move from an Awareness stage of concern and Orientation level may return to the classroom and implement the innovation in a manner that is not in line with what the developers of the change originally envisioned (Bellah & Dyer, 2007:69; Hall & Hord, 2001).

Table 3.1 shows eight levels of how a person adapts to implement an innovation starting from a low level to the highest level.

TABLE 3.2: Teacher Levels of Use of an Innovation and Typical Behaviours

(Adapted from Hall & Hord, 1987:84)

Levels of Use	Behavioural Indicators
6. Renewal	The user seeks more effective alternatives to the established use of the innovation.
5. Integration	The user makes deliberate efforts to coordinate (collaborate) with others in using the innovation.
4b. Reinforcement	The user makes changes to increase outcomes.
4a. Routine	User makes few or no changes and has an established pattern of use.
3. Mechanical	The user makes changes to better organise use of the innovation.
2. Preparation	The user has definite plans to begin using the innovation.
1. Orientation	User takes the initiative to learn more about the innovation.
0. Non-Use	No action is being taken with respect to the innovation.

Burgess *et al.* (2010:56) observe that lower levels (Mechanical and Routine) indicate a day-to-day adoption or adaptation of an initiative at a surface level of change. The upper levels indicate teachers whose behaviours of reflection and collaboration show a more meaningful engagement with the subject area (Kember & Mezger, 1990:50). The risk of teachers practicing at Mechanical level is one of superficial implementation (Hall and Hord, 1987; 2001), where the innovation (such as AAPS), is directly adopted into practice with limited absorption of the underlying principles, contextualisation or integration (Burgess *et al.*, 2010:56). This practice seems to be aligned with the pattern of implementation by teachers in school contexts.

Lastly, according to the Concerns-Based Adoption Model, it is observed that if resources for introduction, implementation, and sustained adoption of such innovations are inadequate teacher implementation challenges may increase. When there are insufficient, resources and lack of support, teachers frequently find themselves struggling to understand and use newly introduced educational innovations (Hall & Hord, 2001). Consequently, Bellah and Dyer (2007) observed that in most cases, evaluation measures, when implemented, serve simply to assess if a teacher is using an innovation, and they do not consider whether there are

appropriate and adequate resources. If results show non-use, the innovation is deemed a failure. If the evaluation results indicate teacher use regardless of availability of adequate resources, the innovation is viewed as a success. In this study, the Stages of Concern and Levels of Use are appropriate analytical tools to explore how secondary school teachers understand, respond to and implement the AIDS Action Programme for Schools.

3.2.4 INNOVATION CONFIGURATIONS (IC)

As a component of the CBAM, Innovation Configurations allows the teacher to communicate what effective innovation use in the intended setting such as the classroom actually looks like and even to specify what adaptations can be made to reduce strangeness or complexity without rendering the innovation ineffective. In addition, Innovation Configurations represent the pattern of use that result when different teachers implement change in their classrooms (Hall and Hord, 2001). This enables school management and evaluators to make sure that the teachers are implementing an innovation in an appropriate manner.

In a way, Hall and Hord (2001) point out that Innovation Configurations help to define what the new programme or practice is that is to be implemented in the classroom. What is needed is to try and identify the main components of a new programme. Innovation Configurations help the school management to know what the behaviours are that are occurring in the classroom. According to Hall and Hord (2001) Innovation Configurations data can be used to measure the progress of an implementation and to identify and address problems associated with the implementation of an innovation. What the CBAM does through Innovation Configurations is to learn more about innovations and to figure out more effective ways to support teachers engaged in implementation, by studying what is going on with them. Innovation Configurations find out what is going on in a naturalistic way so that the change process can be tracked. According to Hall and Hord (1987) at its core, the Innovation Configurations construct helps to ensure that every teacher is on the same page. This third part of the CBAM – Innovation Configurations, is not used as an analysis tool in this research because it would change the focus of the study. The Concerns-Based Adoption Model's two parts, which are most relevant to this study and employed as a data analysis tool, are the Stages of Concern and Levels of Use.

Figure 3.3 shows the visual representation of implementation of the AAPS using the CBAM's Stages of Concern and Levels of Use dimensions as the foundation. The main elements in Figure 3.3 are that the subject area AAPS comes first. The next element in the figure is the teachers who are the agents of change and users of the AAPS in their classrooms. Thirdly, there is need for probing and intervening by the policy makers, curriculum developers, school management and knowledgeable colleagues to facilitate implementation of the curriculum and change process. The teachers engage into Stages of Concern and Levels of Use. The end result is that there are users and non users of the subject area AAPS depending on the teacher's Stage of Concern and Level of Use.

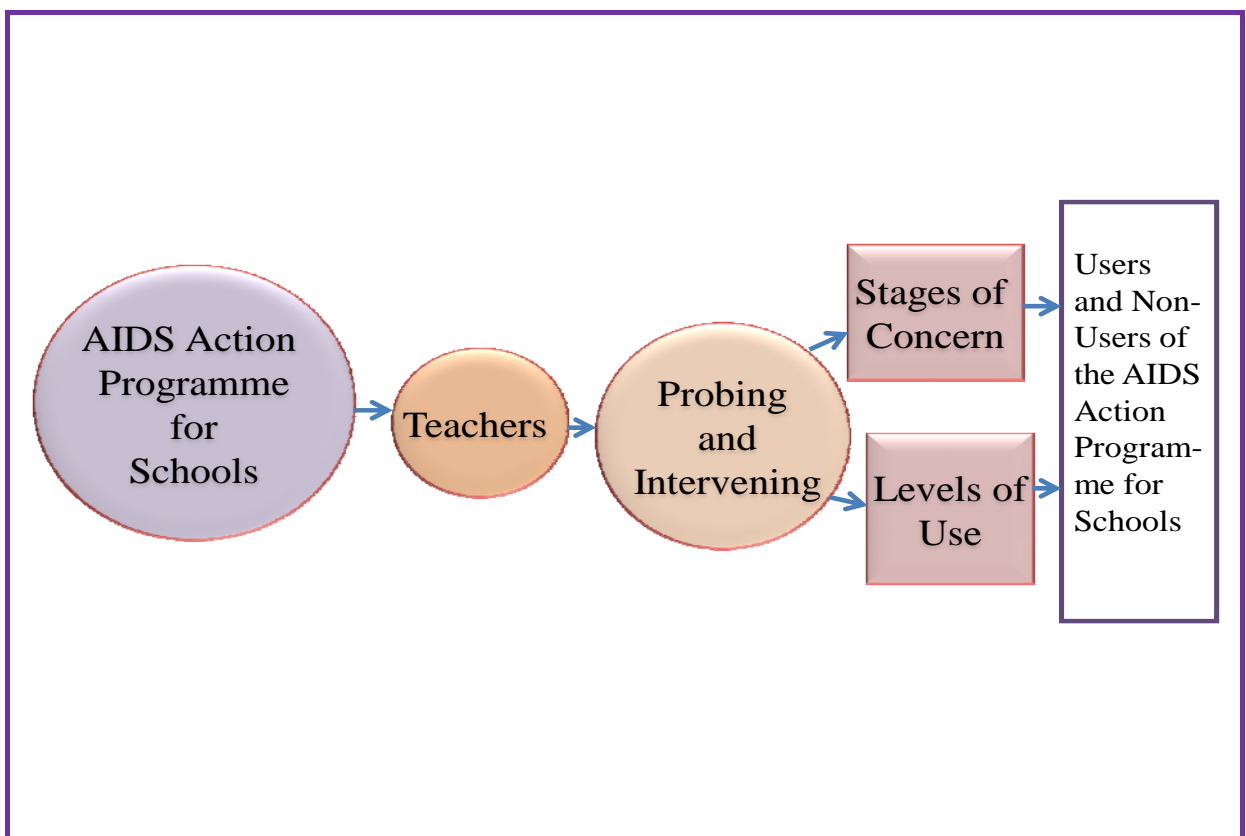


Figure 3.3: The Concerns-Based Adoption Model applied to the AAPS (Adapted from WestEd 2000:10)

The teachers' Stages of Concern and the Levels of Use influence effective implementation of the AIDS Action Programme for Schools. The probing and intervention by the school management enhance the teachers' motivation and performance through influencing their understanding of the AAPS policy, curriculum components and requirements. As indicated in Figure 3.3, depending on their Stage

of Concern and Level of Use, teachers can be either users or non-users of the innovation (AAPS) in their classrooms (Hall & Hord, 2001). An innovation implementation support system has to be created by the facilitators where probing and intervening takes place for change to be realised. Intervention could be in the form of in-service training workshops and provision of resources. Probing can be done during monitoring the subject area's implementation process.

3.3 CONCLUSION

In the current chapter it has been discussed that the Concerns-Based Adoption Model provides an elaborate framework and methodology for describing key dimensions of the process, content and support for teacher implementation of changes in policy, curriculum and instruction. Various schemas for classifying teacher implementation attitudes and behaviours, change management approaches and change-facilitation interventions and roles were explored. The theory is made up of three major components namely: Stages of Concern, Levels of Use and Innovation Configurations, with the first two being relevant to this study. The CBAM does not predict what interventions work best in resolving which concerns in particular circumstances. The model does, however, include a framework for describing interventions to facilitate policy and curriculum change and implementation. The concept of change facilitator is a critical element of the Concerns-Based Adoption Model framework. It was noted that teachers' progress in implementing an innovation can vary in different schools, regardless of whether they received the same initial staff development. This led to this study employing the Concerns-Based Adoption Model framework in investigating of secondary school teachers' conceptualisation and implementation of the AIDS Action Programme for Schools. The upcoming Chapter 4 discusses the methodology and approaches used in this study.

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