



LEADING CHANGE WORKSHOP

For The Wallace Foundation Education Leadership Initiative

TOOLS

SUMMER 2005

Leading Change materials developed by Jody Spiro, Ed.D, drawing on courses she has presented at universities and institutions in the U.S. and abroad.

LEADING CHANGE WORKSHOP

Table of Contents

TOOLS

#1: READINESS RUBRIC

#2: STAKEHOLDER ANALYSIS

#3: DESIGNING SHORT-TERM, TANGIBLE WINS

#4: CULTURE ANALYSIS

Values Exercise/Leader's Guide/Sample Analysis Sheet

#5: COLLABORATIVE PLANNING GUIDELINES

#6: SUSTAINABILITY ASSESSMENT

From the Beginning to Sustainability

TOOL #1

READINESS RUBRIC

The first step is to assess readiness of those involved with the change strategy. *Readiness will differ by situation – even for the same group of people.* The steps are: (A) assess the group’s readiness according to the three criteria, (B) determine an overall group rating, (C) match the amount of structure in the strategies to the group’s readiness, and (D) frequently assess readiness because, as you successfully lead the change, people’s readiness will improve (and strategies must consequently change).

READINESS = EXPERIENCE + ATTITUDE + SKILLS/KNOWLEDGE







STEP ONE: Re-examine your assumptions!

A. RATINGS Circle your rating of each factor using the 5 4 3 2 1 scale.

5 = Completely
4 = To a great degree
3 = To some degree
2 = To a minimal degree
1 = Not at all

A1. To what degree do participants have previous experience with change in general and the content of this change in particular?	5	4	3	2	1
--	---	---	---	---	---

What to Consider When Making Your Analysis






-  Have participants undergone changes in this area before successfully?
-  Do participants have a great deal of positive experience with the type of change being addressed?
-  Do participants have a great deal of experience in the content area being addressed by the change?
-  Do participants recognize and acknowledge that there is a problem that warrants change?
-  Do participants perceive more benefits than costs? Might they be persuaded?
-  If participants’ experience has been negative, are they willing to “unfreeze” that experience?

TOOL #1

READINESS RUBRIC








A2. To what degree do people have the required skills/knowledge?	5	4	3	2	1
--	---	---	---	---	---

Things to Consider When Making Your Analysis

-  To what degree do participants have the skills and knowledge to plan and implement the change?
-  Do participants share common definitions of the task/content?
-  Is there training available? To what degree are participants amenable to learning new skills and knowledge?
-  Are resources available (subject matter experts, research)? Will they be used effectively?
-  To what degree do participants have the required skills, but are not implementing? (If so, something else is wrong and readiness is low.)

A3. To what degree do people have the right attitude?	5	4	3	2	1
---	---	---	---	---	---

What to Consider When Making Your Analysis

-  Is there a high degree of enthusiasm for making this change?
-  Are participants willing to take responsibility (as opposed to blaming others or blaming circumstances)?
-  Are participants open to change?
-  Are participants flexible?
-  Are participants comfortable with ambiguity?
-  To what degree are participants willing to take risks?
-  To what degree are participants willing to learn from mistakes?

TOOL #1

READINESS RUBRIC

SCORING THE GROUP’S READINESS: SUMMARY

(Transcribe from ratings on the previous two pages)

A1. How important do people perceive the change to be?	5	4	3	2	1
A2. To what degree do people have the required skills/knowledge?	5	4	3	2	1
A3. To what degree do people have the right attitude?	5	4	3	2	1
A4. TOTAL SCORE (Highest = 15) _____					

B. DETERMINE GROUP READINESS

Low Readiness = a score range of 0 – 10




Medium Readiness = a score range of 11 – 13

High Readiness = a score range of 14-15

B1. Group Readiness Score (From A4 above) _____

B2. Group Readiness (Circle) High Medium Low

NOTES:








-  *If even one of the three elements is low, readiness is low.*
-  *Most groups undergoing a change will be low readiness at first (because they will lack the previous experience).*
-  *If no information is available, assume low readiness.*

TOOL #1






READINESS RUBRIC

C. MATCH THE READINESS LEVEL WITH THE AMOUNT OF STRUCTURE NEEDED IN THE ACTION PLAN



Low Readiness (score range 0-10) = use HIGH STRUCTURE STRATEGIES such as:

-  Clear, specific outcomes (objectives) with evaluation criteria
-  Clear, specific ground-rules
-  Clear timelines and responsibilities (decision sheet)
-  Use structured questioning: “Never ask an open-ended question to a low readiness group.”
-  Put decisions in writing
-  Use on-going formative evaluation
-  Continuously monitor plans/make modifications through a defined structure (i.e., weekly meetings)

Medium Readiness (score range 11 – 13) = MODERATE STRUCTURE such as:

-  Decision-sheets
-  Jointly-set meeting (agendas/groundrules)
-  Participative planning
-  Stakeholder analyses
-  Individual motivation (accept the “right” action for the “wrong” reason)

High Readiness (score range 14-15) = LIGHT STRUCTURE AND PARTICIPANTS’ SELF-DIRECTION such as:

-  Group empowerment within stated objectives
-  Group decision-making, group-identified experts/strategies
-  Group-defined contracts

TOOL #2

STAKEHOLDER ANALYSIS

I. WHAT GROUPS STAND TO GAIN OR LOSE FROM THE CONTEMPLATED CHANGE?

	GROUP	GAINS	LOSSES
SUPPORTERS	1.	1.	1.
	2.	2.	2.
	3.	3.	3.
	4.	4.	4.
OPPONENTS (Indicate "Primary or Secondary")	1.	1.	1.
	2.	2.	2.
	3.	3.	3.
	4.	4.	4.

TOOL #2

STAKEHOLDER ANALYSIS

II. WHAT GROUPS CAN THWART THE PROPOSED CHANGE?

GROUP	HOW?
1.	1.
2.	2.
3.	3.
4.	4.

TOOL #2

STAKEHOLDER ANALYSIS

III. WHAT INCENTIVES CAN BE GIVEN TO THE OPPONENTS TO ENGAGE THEM?

GROUP (Begin with Primary Groups)	INCENTIVE	WHY IT SHOULD WORK
1.	1.	1.
2.	2.	2.
3.	3.	3.
4.	4.	4.

TOOL #2

STAKEHOLDER ANALYSIS

IV. WHAT ARE THE “ZONES OF INDIFFERENCE” (AREAS OF RELATIVELY LESS PASSION)? HOW CAN YOU USE THEM? (Note: “Zones of Indifference” are those areas that incite relatively less passion and therefore will garner relatively less opposition. Starting with these areas helps attain early success, credibility and momentum in order to implement strategies that generate more opposition).

ZONE OF INDIFFERENCE	HOW TO USE

TOOL #2

STAKEHOLDER ANALYSIS

V. ARE THE OPPONENTS ENGAGED IN YOUR COLLABORATIVE PLANNING?

GROUP	WHAT IDEAS DID THEY CONTRIBUTE?
1.	1.
2.	2.
3.	3.
4.	4.

CULTURE ANALYSIS

A. Analysis

How do you know?

1. Which cultures are present (examples: school, teacher, union)?

2. What do they have in common?

3. Which culture is most dominant?

a. What is the explicit culture?

b. What are the norms?

c. What are the espoused values?

d. What are the real values?

e. What are the basic assumptions?

B. Implications

1. Create strategies that build upon common real values (for stability).

2. Do not *inadvertently* upset the underlying assumptions.

3. Create strategies to inculcate flexibility, risk-taking and learning from mistakes.

TOOL #4

CULTURE ANALYSIS

IMPLICATIONS FOR DEVELOPING AND IMPLEMENTING YOUR CHANGE STRATEGY

1. What aspects of ALL cultures can be emphasized in the work?
2. How can you use your change strategy to build upon the dominant culture?
3. What should remain the same for stability?
4. How will you address the “real” values (as opposed to the espoused values)?
5. Is there a value for education leadership, children, risk-taking, learning, flexibility? If yes, how can you further these? If not, how can you encourage these?
6. How do the assumptions underlying the dominant culture facilitate or impede your breakthrough ideas? How will you use them to facilitate improvements? How will you prevent them from impeding improvements?

VALUES EXERCISE

PERSONAL VALUE	H / M / L	10 HIGHEST	FULFILLMENT RATING
Accomplishment			
Advancement			
Affection/Love			
Beauty			
Candor			
Change			
Children (anyone's)			
Comfort			
Competition			
Control			
Cooperation			
Courage			
Creativity			
Diversity			
Economic Security			
Education/Learning			
Empathy			
Excitement			
Fairness			
Family Life			
Flexibility			
Freedom			
Friendship			
Health			
Helpfulness			
Honesty			
Hopefulness			
Immortality			
Inner Harmony			
Integrity			
Leadership			
Loyalty			
Making a Difference			
Order			
Patience			
Peace			
Perseverance			
Pleasure			
Possessions			
Power			
Practicality			
Recognition			
Religion			
Respect For Others			
Responsibility			
Risk-Taking			

VALUES EXERCISE (2)

PERSONAL VALUE	H / M / L	10 HIGHEST	FULFILLMENT RATING
Self Respect			
Spirituality			
Stability			
Team Work			
Trust			
Vision			
Wealth			
Winning			

FULFILLMENT SCALE

Answer the following two questions by rating each from 0-3, and then adding your responses to get a response somewhere between 0-6. Place your score in the "Fulfillment" column for each value. (Question 1 rating 0-3 + Question 2 rating 0-3 = 0-6)

1. How would you feel if this value were *more* present in your life?

0 = Indifferent or Sadder	1 = A little Happier
2 = Happier	3 = Much Happier

2. How would you feel if this value were *less* present in your life?

0 = Indifferent or Happier	1 = Somewhat Concerned
2 = Concerned	3 = Very Concerned




LEADER'S GUIDE

Conducting the Values Exercise (75 - 90 minutes)

Distribute the two page list of values. Ask participants to follow along with your instructions and not to try to go ahead of you or guess what comes next.

Ask participants to read the list of values. Tell participants that they may add any values that are not on the list that they feel are important to them.

Possible interesting discussion questions at this point include the following. You might want to use one or more of these questions to stimulate some discussion to set the stage in advance of the exercise. It is optional.

-  Asking what is a “value,” and why it is so important for us to be aware of our values? Why is it important for our instructor to be aware of our values?
-  Asking the definition of terms, for all or for those that might prove troublesome
-  Asking what an “assumption” is, and why we should always test assumptions and not just think that everyone thinks the same way we do, or has the same values we do.

STEP ONE: RATING THE VALUES BY INTUITION (5 minutes)

Ask participants to fill in only the first column on the right – “High, Medium, or Low”. They should read each value and indicate if it is of high importance to them (by writing “H”), medium importance (by writing “M”), or low (“L”). However, they may not designate more than 10 values as “high,” and must designate at least 5 values as “low”. They may have fewer than ten “highs,” and more than five “lows,” and as many mediums as they want.

Notes: (1) Participants should use whatever intuitive methods of analysis they want to make their decisions. There is no right or wrong answers. They will not be judged on their responses. These are individual decisions. (2) When considering these values, consider their importance to you as a person, not according to their profession or role.

Timing: They have five minutes for this task (it should be off the top of their heads, without a lot of thought). Remind the group that there are values on both pages, and the guidelines apply to the total of all the values, not to each page.

Facilitation Tip: Warn the group when there are two minutes remaining and then when there is one minute left.

STEP TWO: IDENTIFYING THE TEN HIGHEST VALUES (1 minute)

Ask participants to fill in the next column, “Ten Highest,” by indicating with a check or “X,” those values that were assigned “H’s”. If they had fewer than 10, that is fine, but no more than 10.

STEP THREE: EXAMINING OUR VALUES FROM A DIFFERENT PERSPECTIVE (15-20 minutes)

Participants are now asked to complete the last column on the right, the “Fulfillment Rating”. Tell them that the purpose of this part of the exercise is to examine our values from a different perspective than we just did. Maybe we will learn new information this way.

Point out the legend that appears on the bottom of the second page. For each value (not just the ten highest – for every value on both pages), they are to ask themselves the following two questions and give a numerical rating per the scale:

1. How would you feel if you had more of this value in your life?
 - 0- Indifferent or Sadder
 - 1- A little happier
 - 2- Somewhat happier
 - 3- A great deal happier

So there is a score from 0 – 3 for this part of the analysis for each value to be written in the “Fulfillment Rating” column.

2. How would you feel if this value were taken out of your life?
 - 0- Indifferent or happier
 - 1- A little unhappy
 - 2- Somewhat unhappy
 - 3- Very unhappy

You will have another score from 0-3 in response to this question. Then you ADD the scores from these two questions and you therefore have a score somewhere from 0-6 for each value in the “Fulfillment Rating” column.

Note: While participants are doing this, distribute to each person six blank cards or 6 small, blank pieces of paper.

STEP FOUR: ANALYSIS OF HIGHEST RATED VALUES FROM TWO PERSPECTIVES: MAKING DECISIONS (3 minutes)

Ask participants to examine their responses to the “Fulfillment Rating,” in comparison to their previously developed “Ten Highest”. Does this new information cause them to want to make any changes in their list of Ten Highest? If so, this is their last chance to make a change.

Facilitation Tips: (1) There is no one best way to make these decisions. However, you might want to advise them to look at all their “6’s” and see what they have designated as “H”. Since there was no limit on “6’s,” there will probably be more “6’s” than “H’s” so, they might want to consider the “6’s” in light of the “H’s”.

(2) You may start to give these instructions to participants as more than half of the group has finished the Fulfillment Rating. It helps speed up the others to finish.

Important Discussion Question:

ASK: “How many people changed at least one value as a result of considering the new information?” (Usually about three quarters of the group has made a change).

Point out that this is the value of (1) considering a second perspective, and of (2) testing an assumption with data.

You can give them two minutes to make their list of Ten Highest final.

STEP FIVE: THE SIMULATION (15 minutes)

Ask participants to use 5 of the 6 cards you have given them. They should put the sixth card in a safe place. They will need it later.

Using the five cards, they should write on each card ONE of their FIVE highest values. They should examine their ten highest, and narrow it down to the five highest values (using any method of analysis they want), and write one of the five highest values on each card. So they are left with five cards, and on each card is written one of their highest values.





When they have finished that (3 minutes) tell them that they should look over the five cards and make a decision regarding which of the five they are most willing to give away to you. In other words, which of the five will they give up (the least important of the five). Then walk around to each person and take from him/her the card that holds his/her highest value.

Facilitation Tips: (1) It is a dramatic touch to have a CLEAN waste basket and you can “discard” the values into that basket as if you were throwing them away. However, you will want to keep the cards in order to add up the total number of times a value appeared in anyone’s top five, so you want the basket to be clean so you can retrieve them, (2) before you “thrown away” the #5 values, read them to the group. “Here is what you have given away...” and read them. This always gets a big reaction as people experience having given away significant parts of themselves.

You do this three more times. People give up another value (#4), you read them and throw them away. Then people give up value #3, you read them and throw them away, and then they give up value #2. You read them and through them away.

People are left with their most dearly held value. They get to keep this one. (Say: “Think of everything you had to give up in order to keep this one. It must be of incredible significance to you.”)

Discussion Question:

-  Which was the hardest value for you to give up? The first one? The last one? Why?
-  Were you surprised with the value you kept as number one? Is it one you might have predicted?
-  Did you have any values in your top 5 that weren't even in your original top 10? In other words, values that only became apparent to you after you examined the additional perspective.
-  Do you think these were your values at other points in your life? Might they change at other points in your life?

STEP SIX: NUMBER ONE's

Ask participants to retrieve the sixth index card. On this card, they are to make a COPY of their number one value to hand into you so you can count it. They should write on the card: “#1 value – and what it was”. Point out that you are not taking this away from them. That is why you gave them the sixth card.

Read out the #1 responses. Point out how important they are. Think of what everyone had to give up in order to keep this one. It is very significant to his/her motivation/life choices.

Note: Be careful about asking people to share their values with the group. Some people will want to do this, and others will not. No one should share his/her values if they do not want to do this. But if they do, it can be a very interesting discussion.

STEP SEVEN: RESTORING THE VALUES

People will feel stripped of important parts of themselves. You should have a little ceremony. Raise your hands and pronounce, “By the authority vested in me as the instructor of this class, I hereby restore to you the values I took away.” Everyone will laugh and feel better.

ACTIVITY IV: SUMMARY AND LESSONS LEARNED (30 minutes)

ASK: What lessons did we learn?

Solicit from the group. Here are some suggestions for what should come from the discussion:

1. Use intuition – This was the first step (and it was hard). It was a good first step. But there was a lot of work to be done from there. And things got a lot harder!
2. Test your assumptions—This was done by the thought process in the first round, by the comparison of the intuitive response with the “Fulfillment” data. Most people made changes. At times, people have even wound up with their #1 value being one that wasn’t rated “high” originally.
3. Multiple Perspectives – The “Fulfillment Rating” is an example of a second perspective. Most people made a change after seeing things from a different view. It is also important to recognize how many perspectives there are in this room. Look at the number of values that people identified ultimately as #1. Everyone does not have the same values.
4. Make the Hard Choices – We had to continue to give away values until we had only one left. It would have been easier to stop at 5 or 3 saying – “these are the defining values of my life, I can” choose among them.” But, when forced to choose, the thinking goes deeper – and it becomes more real. You have to make choices all the time between and among highly held values.
5. You have experienced the importance of values to us. See how hard it was to give up values?

If we were to count the cards, we could get a composite of the values of this group. (You are welcome to do that as a follow-up activity and give the feedback to the group.) You could compare your values to those of the group. But, most importantly, you have now critically analyzed your values for their appropriateness in your life today. Consciously align your actions with your values.










TOOL #4

CULTURE ANALYSIS
USING A
GROUP VALUES SAMPLE ANALYSES
From the “Values Exercise”
(n = 19)

VALUE	NUMBER/% CITING AS #1	NUMBER/% CITING IN TOP 5
Affection / Love	3 (16%)	10 (53%)
Health	1	8 (42%)
Accomplishment	0	6 (32%)
Family Life	4 (21%)	6 (32%)
Friendship	0	6 (32%)
Making a Difference	0	6 (32%)
Peace	1	6 (32%)
Children	3 (16%)	5 (26%)
Courage	0	5 (26%)
Self-Respect	3 (16%)	5 (26%)
Integrity	2 (11%)	4 (21%)
Trust	0	4 (21%)
Fairness	0	3 (16%)
Freedom	1	1
Economic Security	0	2 (11%)
Education	0	2 (11%)

CULTURE ANALYSIS

From the “Values Exercise”

-  Pay special attention to #1 values
-  Analyze situations for existing values conflicts
-  Do not create values conflicts (use this information to help)
-  Facilitate group members’ brainstorming strategies to incorporate more of their values into their work (they will “flood” you with ideas)
-  Recognize that your values might not be reflective of those of the group
-  Be aware that values change; and sometimes can change quickly and dramatically
-  Are the organization’s values “heroic”?
-  How can the group values be used to promote stability in times of change?
-  How can/do organization values support/align with the culture?

DISCUSSION QUESTIONS

Using the culture data on previous page:

1. What 3 conclusions can you derive about the culture of this group?
2. What information/insight is provided by analysis of the #1 values? What added value is there to identifying those?
3. Of the 5 values held highly by one third of the group, which is the most important in terms of cultural importance? Why?
4. What might you do to get more of the highest-held values into organizational life?
5. Are “heroic” values (risk-taking, flexibility, education) present or is there the potential to develop them?
6. What values (from the exercise sheet) are missing in this culture? What, if anything, can you do about it? Why might you want to address this?
7. How can you integrate the main values into your work?
8. How can you create readiness for needed, missing values?

TOOL #5


COLLABORATIVE PLANNING GUIDELINES


Goals: (1) To make the desired decisions; (2) facilitate a learning experience; and (3) without compromising what is essential.


STRATEGIES


EVIDENCE (How do you know?)

PARTICIPANTS: ARE THE RIGHT PEOPLE AT THE TABLE?


 Those with the authority to make decisions


 Those important for implementation who are likely to oppose


 Those who represent important constituencies

 Those who will do the work

CLARITY/TRANSPARENCY OF MEETING'S OUTCOMES

 Is there agreement that the topic of the meeting solves an important problem? Are data presented to support this?


 Is there a written statement of the decisions that should result from the meeting?*


 Is there a statement of the meeting's length that is adhered to?


STRATEGIES


EVIDENCE (How do you know?)


READINESS ASSESSMENT/STRUCTURE OF MEETING


 Is group high, medium, or low (see Tool #1)?

 If readiness is low, is there high structure: i.e., are there explicit ground-rules? ** an agenda? a mechanism for recording decisions/who/timeline? Are discussion questions targeted and specific rather than open-ended? Is writing included in activities or contingencies if the group is unproductive? ***

 If readiness is medium is there medium structure: i.e., has the group had the chance to provide input to a draft agenda and group process methods? Review written decisions?

 If readiness is high, does the group have the [group-defined] resources it needs to propose its agenda and do its work? Do they have sufficient autonomy?


 Are the group's shared values furthered (see Tool #4)?

 Are there plans to *reassess* readiness and adjust accordingly?


STRATEGIES


EVIDENCE (How do you know?)


PRE-WORK

 Is there assigned pre-work (to get people thinking, to have a common language, to demonstrate the seriousness, to stimulate learning)


ATMOSPHERE OF RESPECT


 Are there light refreshments?

 Are all group members encouraged to contribute? How?

 Are people heard? Are their opinions considered?
Incorporated?

MANDATES/CONSTRAINTS/NON-NEGOTIABLES


 Are all non-negotiables or mandates, stated them up-front?

 Is there discussion of how to use those mandates to the advantage of the work?

STRATEGIES


EVIDENCE (How do you know?)

TEST ASSUMPTIONS OF WHAT HAS BEEN DECIDED


 Is there a clear, concise, and timely summary of what has been decided, who is assigned to do what, and by when?

 Do participants have input in reviewing and revising those decisions?

MECHANISMS FOR CONTINGENCY/ MONITORING/REVISION

 Are there specific ways in which modifications can be made as the work progresses?

INTEGRATION OF LEARNING

 Did the group solve a problem? Develop strategies that can be applied immediately? Learn from real life application of what was decided? Form supportive or informational networks? Acquire new resources?

NOTES

* See “decision sheet” on page 29 for a model

** Typical ground-rules might be: (1) being specific (using data to support opinions), (2) being constructive (posing solutions, not just problems), (3) not discussing anything personal about anyone in particular, (4) observing a time limit, and (5) listening actively to others. The facilitator must enforce the ground-rules consistently or they will have the opposite effect!

*** Writing is a mechanism to facilitate participants’ focus in specifics and gives them an opportunity to organize their thoughts before speaking. An effective device is a “critical incident” where participants are asked to write 1-2 paragraphs answering 3 or 4 questions about a specific circumstance related to the given topic (as assigned by the facilitator). This is particularly effective when the last question asks for a solution to the issue discussed.

Two sample critical incidents might be:

16. Purpose: Re-enforcing positives, learning from what works

Think of a time in the last two months when a leader made a change that had an observable effect on teaching and learning....

- (2) What was the existing situation?
- (3) What change was made?
- (4) How was the change made?
- (5) What resulted from the change?

II. Purpose: Surfacing problems and solutions

Think of a time in the last two months when the leader recognized that changes needed to be made....

- (1) What issues needed resolution?
- (2) How were the issues addressed?
- (3) Was this successful?
- (4) How might the same issue be addressed differently in the future?

TOOL #5

COLLABORATIVE PLANNING GUIDELINES
DECISION SHEET

Meeting Objective: _____

Date: _____ Participants: _____

	DECISION	WHO	WHEN
1.			
2.			
3.			
4.			
5.			

TOOL #6

SUSTAINABILITY ASSESSMENT

*This assessment presumes that you have a successful strategy that has achieved its results (or shows promise for doing so).
To what extent have the following elements been incorporated into your project?*

Scale: 5 – Already exists 4 – In progress 3 – Somewhat 2 – Minimally 1 – Not at all

	SUSTAINABILITY ELEMENT	CURRENT STATUS RATING					EVIDENCE OF CURRENT STATUS	WHAT IS NEEDED FOR SUSTAINABILITY?
		5	4	3	2	1		
1.	On-going funding is assured	5	4	3	2	1		
2.	Most funding sources are coordinated to support the ongoing work	5	4	3	2	1		
3.	There are supportive regulations in place	5	4	3	2	1		
4.	A critical mass of supporters is in place beyond “early adopters”	5	4	3	2	1		
5.	The strategies and values are embedded in the culture	5	4	3	2	1		
6.	There are on-going communications mechanisms	5	4	3	2	1		
7.	There is a network of supporting organizations	5	4	3	2	1		
8.	There is little active opposition	5	4	3	2	1		

TOOL #6

SUSTAINABILITY ASSESSMENT

*This assessment presumes that you have a successful strategy that has achieved its results (or shows promise for doing so).
To what extent have the following elements been incorporated into your project?*

Scale: 5 – Already exists 4 – In progress 3 – Somewhat 2 – Minimally 1 – Not at all

	SUSTAINABILITY ELEMENT	CURRENT STATUS RATING					EVIDENCE OF CURRENT STATUS	WHAT IS NEEDED FOR SUSTAINABILITY?
		5	4	3	2	1		
9.	This strategy is considered important by the affected constituencies and the public	5	4	3	2	1		
10.	There is a clear and legitimate procedure for leadership succession	5	4	3	2	1		
11.	This strategy is considered important by internal constituencies	5	4	3	2	1		
12.	There is a institutionalized system for training of leaders	5	4	3	2	1		
13.	All partner groups are actively participating (universities)	5	4	3	2	1		
14.	The outcomes of this work are institutionalized in the states and districts	5	4	3	2	1		
15.	Union contracts support the on-going work	5	4	3	2	1		
16.	Mandates exist to support the work	5	4	3	2	1		
17.	Continuous gathering of data to support the achievement of the change goal.	5	4	3	2	1		

FROM THE BEGINNING TO SUSTAINABILITY

BEGINNING STRATEGY

Assess readiness

- Engage the early adopters

- Convince people of more benefits than costs

- Develop strategies for resisters

AT SUSTAINABILITY

Assess readiness

- There is buy-in from a critical mass (beyond the early adopters)

- People are convinced of more benefits than costs

- There is minimal resistance

Create a tangible, symbolic short-term win

There are institutionalized products from those wins

Demonstrate the urgency and importance

Most people assume the importance and urgency

Get buy-in on what constitutes “success”
and how it is measured

There is a shared sense of how “success”
is defined and measured
There is continuous monitoring and revision

Build institutional structures

Institutionalization has taken place (laws,
regulations, contracts, curricula, texts)

Develop incentives/correct disincentives

Consequences are aligned with desired outcomes

“Unfreeze” people’s fear of making mistakes

People learn from mistakes

Find the supportive individuals and key
groups

There is a support network of like-minded groups and
constituencies

Ensure that this change is not at odds with the culture

The change is embedded in the culture

Secure funding through “big bets”

Funding is achieved through demonstrations of results

There is one (or a small group) of key leaders

There is formalized succession planning

People have varied-to-negative experiences
with change

People have a positive history with
change