STAIRS

Stakeholders together adapting ideas to readjust
local systems to promote inclusive education

CHANGE MANAGEMENT TOOLKIT

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INTRODUCTION

The Change Management Toolkit (CMT) is a collection of tools on how to achieve change in education. The CMT is an output of the STAIRS – *„Stakeholders Together Adapting Ideas to Readjust Local Systems to Promote Inclusive Education*" – an Erasmus+ Key Activity 3 Support for Policy Reforms framework project. The main goal of this project is disseminating and upscaling good practices currently in place in Portugal and Ireland (sharing countries in the project) in the field of social inclusion and the examination of the adaptation process in the learning countries (Croatia, Czech Republic, Hungary, and Slovenia).

One of the essential aims of the STAIRS was to select good practice initiatives that displayed effective multi-agency partnerships to address a particular community or need on promoting inclusion through and in education. For that purpose, a set of activities have been developed, and documents produced, such as '*Case Studies of Good Practices*' by the sharing countries and '*Country Reports*' by the learning partners to identify learning needs to promote inclusion in their contexts. Those documents having been produced, the learning activities taken place, standing out the preparation for the study visits to Ireland and Portugal, as well as their implementation. Then, new knowledge acquired by the national teams of learning partners have been identified, as well as the part of that knowledge that could eventually be adapted to each national context. It was in that phase of the process that '*National Adaptation Plans'* (NAPs) emerged, which should draw up the potential adaptation of policies and practices based on lessons learned to the respective contexts.

The NAPs have been structured into five sections (four individual chapters + Appendix): 1) Summary of the country's local focus as evident in the Country Report; 2) Summary of study visits; 3) National Adaptation Plan; and 4) National Adaptation Plan as an introduction to developing the European Guidelines. Our focus will be chapter three, which indicates three different steps to present recommendations to foster inclusion: 1) in this point, lessons learned should be reconsidered, focusing on how they relate to the respective national needs identified in the '*Country Reports'*; plus, it should be pointed out the main steps to be taken so that they can be adapted to fulfil national needs, and define the desired results to be achieved, the obstacles to be faced and possible solutions to overcome them. At this point, the possible advantage of drawing up an action plan has been acknowledged; 2) in this point, it has become evident that the recommendations should be addressed to the different stakeholders in each national context; 3) in this point, guidance has been provided on how institutions participating in the STAIRS could play a leading role in spreading lessons learned and building on them locally and nationally. To this end, they should identify the objectives, and results to be achieved, as well as indicators of change; the necessary resources and support, namely the main stakeholders; foresee possible obstacles and risks to be faced as well as how to manage them.

In fact, to make change happen is different from planning it, even though planning is the first step to be taken. Change management is often the key component in driving the success of any venture. However, change initiatives are not all equally disruptive. Some will have a greater impact and be more challenging. Others may be barely noticeable. Change can be divided into two main categories: 'incremental' and 'transformational' (Nauheimer, 2005). *Incremental change* is easier to implement successfully. It is often based on the current state to improve the existing way of doing people's work. It typically involves fewer changes and affects a small number of people.

The NAP concept paper precisely considers this possibility of change, indicating that the recommendations for adapting policies/best practices should be those that best adapt to the national context, without changes, as they can be adopted directly, or modified to better suit them.

Since there are many complexities involved in executing a change initiative, both change management and project management components are required. Sometimes change management and project management are mistaken to be the same, but they are two complimentary yet different disciplines. Both use formal processes, tools, and techniques to plan for the change, manage the change, and sustain the change. While change management focuses on ensuring the support of the people, project management focuses on tasks to be executed. Coupled together, pro-active change management and project management will lead to the actualisation of the benefits of the change initiative.

Thus, the present CMT will consider the change management recommended generically in the structure of the NAPs, giving special emphasis to the role of people, since the common denominator to achieve success for all change initiatives is *people*.

In fact, *transformational change* is more difficult to implement, typically having only a 30% success rate, according to Nauheimer (2005). Why is that? Things get more challenging when the change is *transformational*, because it involves a fundamentally new way of doing things. This typically involves significant culture change and affects many people. Culture is people’s values, beliefs, assumptions, and unwritten rules. These shape people’s behaviours and mindset as well as their performance, which in any case are at stake in any change in education.

Therefore, the CMT is divided into two parts: a conceptual part, dedicated to the issues of change for the promotion of social inclusion in and through education. And an instrumental one presenting a series of tools that are considered useful to carry out the change foreseen in the NAPs. These tools have been selected considering who the recommendations in the NAPs are addressed to, namely “Government / municipalities (policy level); School leaders / teachers and other practitioners; Educational experts / academics / researchers; Parents; University students (e.g., teachers in training) / student university groups” (the STAIRS’ NAPs concept paper, p. 4) and should put those recommendations into practice. Some of the tools are meant to be used by specific change agents and others are meant to be used by everyone, as shown in the diagram below.

#1. Soft System Methodology	• precondition to adress change in education
#2. Communication Plan	• for all responsible to present change
#3. Empathy Map	• for all to be involved in the implementation of change
#4. Policy feasibility	• for policy makers
#5. Project Plan	• for leaders and project plan work teams
#6. Readiness for Change Assessment	• for all involved in the change process
#7. Behaviour Change Plan	• for leaders and managers of change
#8. Manage Personal Transitions	• for leaders and managers of change
#9. Feedback Strategies	• for leaders and managers of change
#10. Success Metrics	• for leaders and managers of change

WHAT IS INCLUSION ABOUT?

Inclusion is a right for all children and youngster, not only in Education, in schools, but in all domains of the society. It is not a question of an updated fashion in Education. Acknowledging Inclusion in Education means to acknowledge also "Education for All" as a right consigned in the Universal Human Rights Declaration (UN, 1948), in the Children's Rights Convention (UN, 1959) and in Convention on Rights of the Person with Disabilities (UN, 2006).

Nowadays, this is part of the 17 Sustainable Development Goals by 2030 of the United Nations, based on four pillars: PEOPLE, PLANET, PEACE, and PROSPERITY. The goal related with Education is the 4th goal, which plays an essential role and aims to ensure an inclusive and equitable quality education and promote lifelong learning opportunities for all (UNESCO, 2017).

In the European context, social inclusion has been in the heart of EU cooperation in the educational field. Since the Lisbon Strategy (2000), when education was first recognised as an important source for developing a socially inclusive EU, various documents and initiatives have been adopted at the EU level aiming to realise this important and ambitious goal: the most recent being the Council conclusions on establishing a *European Education Area* by 2025, and stressing the value of good quality, inclusive education from childhood onwards in laying the groundwork for social cohesion, social mobility, and an equitable society.

In education, inclusion and equity mean a big challenge at all levels and layers of the national systems. When facing inclusion, it means to have as main goal, for a whole educational system, the fulfilment of needs' diversity of all students, promoting learning and participating. This is a complex challenge, that needs a systemic approach (Hall & Hord, 2015; Viennet & Pont, 2017) to build more *inclusive* and *participative* schools, in a more *comprehensive* and *democratic* environment.

Facing inclusion in schools means to face a big range of problems that include social problems (early dropping out of students, for instance), the integration of cultural minorities or refugees, poverty, but also, students with special learning needs and disabilities.

This way of reasoning implies a big shift on the way usually education and schools are faced, mainly regarding schools as cultural and learning space for all, with more inclusive, participated, and democratic methodologies, based on developing competences of learning of knowing, of doing, of behaving, including the development of "soft skills" (communication and social relationship skills), critical thinking and of living together. Inclusive schools provide the resources and the help to each student to go as far as he/she can go in their development and autonomy process as a person, as a citizen.

Inclusive schools are more oriented towards the processes of learning, where cognitive learning skills are as important as artistic, social and communication skills. All members of the school community, including parents and stakeholders, can participate and share their knowledge and their culture. All can learn from one another. And all members of the school community (youngsters included) are responsible for the success of the other one.

In line with the United Nations Educational, Scientific and Cultural Organisation (UNESCO) is the Organisation for Economic Co-operation and Development (OECD), though from a different perspective, by stressing that achieving more equity in education is not only a social imperative, but also a way to use resources more efficiently and to increase the supply of knowledge and skills that fuel economic growth and promote social cohesion (Schleicher, 2018).

According to Schleicher (2018), the quality of a country's education is an indicator of the wealth that countries will produce in the future. If all students can demonstrate that they have basic skills, the immediate or long-term benefits for the economy will also increase. Putting a high value on education can be a pre-requisite for building a first-class educational system and a successful economy. If all their students were equipped with at least basic skills, even high-income and middle-income countries would see an economic gain equivalent to almost five times the value of their current GDP. For this group of countries, the future average GDP would be 3.5% higher than without this improvement, which is close to the amount they currently spend on school education. In other words, by 2030, the economic gains accumulated only with the elimination of extreme low performance would be greater than the expenditure on primary and secondary education for all students.

The biggest source of inequality in wages is skills inequality. Inequality of skills means inequality in society. Our parents taught us that we must study hard to get a good job and a decent salary – and that advice has never been truer than it is today. The consequences of skills inequality within and between countries go far beyond social and economic concerns. Policy makers are realising that such an inequality in education provides fertile ground for radicalism (Schleicher, 2018). In today's interconnected world, a country's future may depend as much on the quality of education beyond its borders as on the quality of education offered in its territory.

Increasing investment in basic skills - increasing the quality of basic education for all - not only results in greater productivity and employability among adults, but also ensures that the benefits of economic growth are shared more equally among the population. A more inclusive and possible growth thanks to the universal acquisition of basic skills, has a tremendous potential to ensure that the benefits of economic development are shared more evenly among citizens.

Investing in the high quality of basic education - and in the training of adults and educational programmes for those who need to update their basic skills - is an efficient way to improve a country's talent pool, and a way to conquer a society with more social and economical inclusion. In addition, tackling wage inequality requires a package of public policies that involve education and training, the labour market and tax and income transfer systems.

What wise parents want for their children is what the government should want for all children. Children from wealthy families will find doors open to a successful life. But children from poor families have only one chance in life: a good school that gives them the opportunity to develop their potential. Those who miss this boat, rarely catch up, as opportunities for education in life tend to reiterate the results of the first years of formal education. Providing access to high-quality education and care in the early years of formal education is generally considered to be the most effective way of levelling the playing field in education and in life.

Equity is only partially associated with socioeconomic status and the need to spend more resources on the most disadvantaged children. Awareness that different individuals learn differently and have different needs is equally important. The greatest difficulty of the 20th century was the right to be equal. The 21st century is the right to be different. The school could use the voice and experience of students in many ways - both those who have done well and those who have failed – to guide changes in the relevance and organisation of schooling (Schleicher, 2018).

1. Levels of change in education

According to Fullan (2007), in the last three decades, several confused attempts have been made to reform the education system. This author describes that many problems in educational change occur due to difficulties in planning and coordinating. Also, he describes factors affecting implementation process of educational change, being one of them „what teachers do and think” (Fullan, 2007, p.129).

However, in a globalised world, the classroom, or the locus where teachers teach and students learn is a microcosmos in the centre of numerous larger but concentric cosmos, within which numerous factors influence and constrain educational change. So, there is a long way down to go, along which countless actors and influential factors come together to prevent or make change in education possible. Therefore, when we envisage change in education, we have to consider the various encircled levels of cosmos: the international level, where global aims for educational policies are defined; the national or the system's level, where those aims are adopted; the school or organisational level, where the change is planned and taken to the ground; and, finally, the classroom, where the change is consequently practiced, following Bronfenbrenner (1979) view regarding human ecological development.

1.1. Change in education at the national level

When an educational policy is defined at the national level, it aims at changing the educational system, which is a social system. Achieving that change depends on the values and beliefs of the members of that society, which will guide the change (Hall & Hord, 2015). Inclusion can be pursued either for humanistic reasons (inspired by UNESCO recommendations) or economic reasons (inspired by OECD recommendations). Although they are not mutually exclusive, they can, in fact, be chosen as alternative, for reasons of a contextual nature of the countries that adopt them, that is, reconstructed according to the traditions, values and objectives assumed within national societies.

In the third part of his book, The New Meaning of Educational Change, Fullan (2007) addresses change in education at the regional and national level. The author defines the role of government during change is to push accountability, give incentives in the form of pressure and support and foster capacity building. On the way towards educational change, it is not enough to hire good people in the profession, but also give opportunities for capacity building for those who are already in the field. Large scale improvement of the schools is possible when teachers are recruited, rewarded, and retained. Besides the professional development of the teachers, there are needs to enhance the professional learning of them as well. This professional learning is all about their development of habits for learning.

According to Hall and Hord (2915), the firt principle of change in education is that „change is learning". To make things better (improved) in any setting, as the school, and in the classroom, change is introduced, and learning makes it possible to make the change. Each change initiative represents a new opportunity to learn. Each change initiative has its own cycle. Over time, we experience a series of change cycles: change-improvement- learning + change-improvement-learning + and so on. Even when there is little improvement, there still is learning from the experience.

When people do the right work in existing conditions, the change is sure to come. Large scale change comes when teachers, principals, administrators, and the state think about improvement out of their boxes. **The goal of change is the success of the whole system rather than any individual**. This new edition (2007) of Michael Fullan's book was released because of an updated idea about cognitive science which says that learning is meaning-making, and when people do not find meaning in anything, they resist change. In the end, Fullan concludes the book with the sentence "Meaning is motivation; motivation is energy; energy is engagement; engagement is life." (p. 303) which depicts how much he values a sense of ownership by different stakeholders in educational change. Fullan wrote that a whole school reform was failed in the United States because people did not show interest in "No Child Left Behind" movement because of not seeing meaning in it.

Despite Fullan recognises that „the ultimate goal of change is the success of the whole system", he criticises the „system theory" approach to promote change in education, advocating that what is needed „is a new paradigm more in tune with the realities of systems and their dynamic complexity." (Hall & Hord, 2015, p. 223). That is also advocated by Viennet and Pont (2017).

Though the „system theory" envisages to fix the system by giving attention to all parts of the system simultaneously, i.e., „thinking systemically" (see Tool 1) means to consider the entailment of people, processes, and things. The components or subsystems are inextricably linked. Support or pressure on one part exerts pressure on others (Viennet & Pont, 2017; Tool 4). None functions in isolation of the others. So, all subsystems must be considered in the planning and implementation of new practices. „In addition to the components, working systemically requires that all organisation levels of the system—state, district, school, and classroom—be given attention. These levels can be thought of as concentric circles, each providing expectations and demands that influence student achievement." (Hall & Hord, 2015, p. 216)

In line with that, Viennet and Pont (2017) draw our attention to the need for a policy to be intelligently designed, which they call „smart policy design", i.e.,

> a policy that is well justified, offers a logical and feasible solution to the policy problem, will determine to a great extent whether it can be implemented and how. For instance, if a new curriculum requires the use of high technology equipment which schools cannot afford, the policy may fail to be implemented unless some budget is available at the national or local level. (Viennet & Pont, 2017, p.6)

This dimension of the implementation of educational policies is complemented by two others: including stakeholders engagement and conducive context, whose importance has already been considered by the STAIRS members in the design and production of the NAPs.

Afterwards, as change takes place inside social systems, the act of communication must be addressed (see Tool 2). A new idea circulates throughout a social system by people talking to people, according to the diffusion perspective. On the other hand, change is also everyone making an adoption decision. „Potential adopters work their way through a decision-making process. In the end they either adopt the new idea or continue with their traditional practice." (Hall & Hord, 2015, p. 233)

Communication about the innovation occurs along the established lines, or channels, of communication (see Tool 2). In a social system the distances may be large, and therefore the spread of information across the system will not be even. And the type and layout of the lines of communication can enhance or inhibit the transmittal of information. Where there are more people, there will be more and earlier adoptions since there is greater likelihood of adopters exchanging information about the innovation and perhaps seeing it in use.

Therefore, when the STAIRS national team members from learning countries present policy/best practices recommendations for inclusive education to governments or municipalities, they should suggest the application of Tool 1, so that authorities be acquainted with a methodology to introduce change in a system. Then, check the feasibility of the envisaged policy implementation by applying Tool 4 and plan to communicate it considering Tool 2.

1.2. Change in education at the school level

According to Hall and Hord (2015), „the school is the primary organisational unit for change". The key organisational unit for making change successful is the school. The school's staff and its leaders will make or break any change effort, regardless of whether the change is initiated from the inside or outside. However, the school is not an island. The school can and must do a lot for itself, but it also must move in concert with and be supported by the other components of the system. Schools need outside support. Change is a complex, dynamic, and resource-consuming endeavour. No single organisation is likely to have all the expertise and resources needed to succeed in change. Change processes are easier and chances of sustained success are increased as the school staff understands more about how to use external resources. Change becomes easier as those external to the school recognise the importance of their roles in facilitating change success in each school. That's why it's so important to gain stakeholder buy-in (cf. Tool 2, „All professionals/Stakeholders template”).

Everyone—teachers and principals in the school—must consider and understand how a school learns and advances as a change process unfolds. The change occurs if the members of an organisation develop process skills, the organisation will be more successful in its core work. To perform tasks in most organisations, teamwork is required. According to Hall and Hord (2015), one trend in the definition of “organisational development” (OD) across the decades has been the shift from focusing on teams to addressing the whole organisation (European Commission, 2015). In recent years, the general practice is to apply OD approaches to all parts and to facilitate more long-term products, such as the development of strategic plans (Tool 5).

Thus, there are a set of processes complying larger strategies that groups use to solve a particular problem, develop long-range plans, and accomplish other major tasks; for example, most schools develop School Improvement Plans, i.e., Strategic Plans. Along the process, individuals will be assigned to a committee with the assignment to develop the plan (Project Plan work team). The strategies that can be used in accomplishing these major missions: “problem solving”, “action research” and “strategic planning”.

Following several authors, namely Fullan (2007), we believe that transformative actions do not result from the following of norms, techniques, and paths by the agents in the contexts requiring transformation, but from the action of people convinced that the performance of their role will make a difference in their lives and in the lives of others, namely students, co-workers, and other partners. **People's convictions / beliefs are decisive in transforming actions**. Furthermore, people's convictions / beliefs are prior, because they underlie the realisation of good ideas and the implementation of good practices. They determine adherence and investment in implementing these ideas / practices. Mostly in a context in which educational policies for inclusion are defined in a top-down process. They will have a very limited result, perhaps even a surreptitious boycott by agents in the context, if the implementers do not recognise the way in which these policies provide the resources to solve the problems they recognise to exist, first, and want to solve next therefore our suggestion of Tool 1, “Applying Soft Systems Methodology”. To prepare the public to adhere and empathise with the ideas of change, it will be necessary to survey the convictions / beliefs, using Tool 3, the “Empathy Map”.

According to Hall and Hord (2015) principles of change, “organisations adopt change, individuals implement change”, i.e., successful change starts and ends at the individual level. There is an individual aspect to organisational change. Once “empathy maps” are completed, their analysis will be carried out to assess the extent to which these professionals will be permeable or resistant to the change in question. Education professionals often argue that they cannot do more than they do, adequate policies and / or resources are not yet available. We believe that working on this stage of the change process may result in the design of a more successful strategic plan (Tool 5).

While moving to a “problem based / critical thinking” approach, the actors in the context should begin by identifying the inclusion problems they face and which of them demands to be solved as a priority and then being aligned to the STAIRS members recommendations. Several steps to the problem-solving process have been identified, as the one in the next figure. Note that problem solving is represented as a cycle; usually, solving one problem leads to new problems, so the steps may need to be repeated.

Figure 1. Problem-solving cycle, drawn by the author based on Hall and Hord (2015)

Thus, to implement a change at the school level, a “strategic plan” or “project plan” must be drawn up and a work team designated to draw it, manage its implementation, and assess it. Although this CMT is based on the principle that a “project plan” is different from a “change plan”, Tool 5 is provided, with suggestions for the elaboration of a “project plan”.

Organisation change could be more successful when various processes were internalised as the regular way of working. Over time, the processes for organisation change have become more complex and the view of the organisation more holistic. Core strategies continue to include addressing climate/culture, strategic planning, and process consultation. Questionnaires can be used to measure the values and norms organisation members hold about such constructs as autonomy or inclusion, reward orientation, the amount of communication, and feelings about colleagues and their students. That’s why we suggest using the “empathy map” (Tool 3) from the beginning of the change process design. An organisation culture is a social construction. The type of culture and its shape are the result of individual and interactive interpretation and construction of meaning weather is a “family-school”, a “school as a professional organisation” or a “living-apart-together school” (Staessens, 1993, cit. in Hall and Hord, 2015, p. 271), which will impact differently on people’s behaviour.

1.3. Change in education at the classroom level

There is a strong consensus that high performance in education systems is dependent on the quality of teaching. Barber put it simply: ‘the quality of an education system cannot exceed the quality of its teachers’ (Barber & Mourshed, 2007, p. 13) and his report for McKinsey concluded that ‘the best school systems are those that have the best teachers’ (ibid,7).

> School systems need to ensure that their curricula are relevant and contain enough flexibility to accommodate different learners and different social and economic needs. They need to ensure that school buildings are in good condition... All these things are important and ultimately impact academic performance. However, none is nearly as important as the quality of teaching. (Whelan, 2009, p. 35, cit. in Husbands & Pearce, 2012, p. 2)

Starting from this consensus but questioning the circular argument: good teachers are those who produce good outcomes, so that those pupils with good outcomes must have been taught by good teachers. Husbands and Pearce (2012) carried out a research literature allowing them to point out nine strong claims about the characteristics of highly successful pedagogies.

1. Effective pedagogies give serious consideration to pupil voice.
2. Effective pedagogies depend on behaviour (what teachers do), knowledge and understanding (what teachers know) and beliefs (why teachers act as they do).
3. Effective pedagogies involve clear thinking about longer term learning outcomes as well as short-term goals.
4. Effective pedagogies build on pupils' prior learning and experience.
5. Effective pedagogies involve scaffolding pupil learning.
6. Effective pedagogies involve a range of techniques, including whole-class and structured group work, guided learning, and individual activity.
7. Effective pedagogies focus on developing higher order thinking and metacognition and make good use of dialogue and questioning in order to do so.
8. Effective pedagogies embed assessment for learning.
9. Effective pedagogies are inclusive and take the diverse needs of a range of learners, as well as matters of student equity, into account. The research underpinning the claims is outlined below. (Husbands & Pearce, 2012, p. 3)

We believe that these nine points will be able to guide action research in any context that intends to improve the pedagogical practices of any classroom.

Rowe, Wilkin & Wilson (2012) also published their findings of a literature review conducted as part of the NFER Research Programme. It is part of reviews that collectively consider creating change in schools through workforce development, in line with Hord and Hall (2015) first principle "change is learning". The focus of their review was to establish the key features of „good teaching‟. The report explores what the best available research tells us about what „good teaching‟ looks like, if there are any contradictions and if there are any gaps in the literature.

The authors have identified some key aspects and elaborated, which they designated by a map of the conditions for effective teaching, namely Teaching environment, Teaching approaches, Teacher characteristics, included in a circle that surrounds the student / learner, in the centre. The image conveys the idea that the student is immersed in a context whose experience conditions his/her learning.

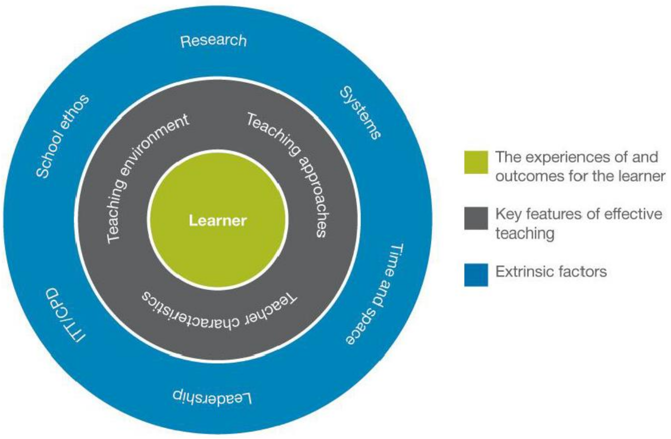


Figure 2: Map of the conditions for effective teaching, adapted from Rowe, Wilkin & Wilson (2012, p. 4)

Based on the key aspects, they have also identified the characteristics of each of them, as the table below reveals.

Table 1. The key features of effective teaching (Rowe, Wilkin & Wilson, 2012, p. 5)

Teaching environment	Teaching approaches	Teacher characteristics
• Calm, well-disciplined, orderly • Safe/secure • An ethos of aspiration and achievement for all • Positive emotional climate • Purposeful, stimulating • Bright, attractive and informative displays • Clean, tidy and well-organised • New or re-designed buildings/spaces • Lower class size	• Interactive (e.g. working and learning together – social constructivism) • Use of teacher-pupil dialogue, questioning • Monitoring pupil progress (including the use of feedback) • Pupil assessment (including Assessment for Learning – AfL) • Pupil agency and voice (active engagement in their learning) • Enquiry-based • Effective planning and organisation • Scaffolding learning • Building on the prior experience and learning of pupils (a constructivist theory of learning) • Personalisation, responding to individual needs • Home-school learning, knowledge exchange • Use of new technology/ICT • Collaborative practice • Good use of teaching assistants (TAs) • Creative use of visits/visiting experts	• Good subject knowledge • Self-efficacy/belief • High expectations • Motivational • Provides challenge • Innovative/proactive • Calm • Caring • Sensitive • Gives praise • Uses humour as a tool • Engenders trust and mutual respect • Flexible (where appropriate) • Builds positive relationships with pupils (relationships for learning) • Self-reflection

To bring change to the classroom, action research is a useful strategy for engaging teams in learning more about their work. This strategy begins with an individual or team identifying a question or problem about their practice for which they would like to understand more. It could be teachers wondering if a certain instructional approach is serving learners or administrators questioning the effectiveness of a particular schedule. In action research, a team of implementers is established and asked to study the problem. Often, an outside expert or researcher will be available as a technical resource. However, this person is not there to make decisions for the team. An important beginning task is coming to a consensus on the question to be studied. The next step is to identify the type of data that will be collected to answer the question. The team then collects data (in their own setting/classroom), analyses the data, and shares the findings with colleagues. The purpose is to examine current practice by collecting data and then having a team work on the problem. Once the skills of teamwork and data analysis are applied, the findings are then used to increase effectiveness (Hall & Hord, 2015). Upscaling those findings to the level of school and/or beyond demands to apply the tools 2,3, 5-10.

2. Managing change

2.1. Principles

When people and organisations are engaged in change, several patterns have been observed repeatedly, and some have developed into major themes, or basic principles, according to Hall & Hord

(2015). For those authors, these principles are no longer debatable points, for they summarise predictable aspects of change. Acknowledging that these principles are foundational to the way of thinking about change. Understanding them should help agents of change in predicting key aspects of change efforts.

First, "**change is learning**", as stressed above (cf. p.7). Second, "**change is a process, not an event**". Change is a process through which people and organisations move as they gradually learn, come to understand, and become skilled and competent in the use of the new patterns. There are very few shortcuts. The press to make change quickly means that there is limited time to learn and understand the newly introduced path. The strategic plan for change will look very different depending on whether it is assumed that change is a process or an event. If the assumption is that change is a process, then the plan for change will be strategic in nature. It will allow at least three to five years for full implementation and will budget the resources needed to support formal learning. Third, "the school is the primary organisational unit for change", as written above (cf.p.8). Fourth, "organisations adopt change, individuals implement change" (cf. p.9). So, this CMT emphasises the need to focus on people and carrying about them. Lastly, it is necessary to keep the "focus". Multiple change efforts require multiple resources, and multiple amounts of attention and energy with multiple actions, to utilise formative and summative evaluations of the efforts to assure successful implementation. These elements require consistent, enduring, and uninterrupted attention to the goals and intended results of each change initiative. Along the way it is very important to keep the focus on the primary goal to be achieved.

2.2. Strategies, Tactics, and Incidents

Over time to accomplish specific change process objectives demands strategies, which are an accumulation of smaller interventions (tactics). Strategies impact many implementers and take long periods of time. Tactic is a set of small, interrelated actions. A day-long workshop would be a „tactic" as a part of the „strategy" of a "training program" for the first year of implementation. Other examples of „tactics" are visiting each implementer in his or her classroom over a three-day period to solicit concerns about training sessions and scheduling a consultant to be in the school for a week to provide technical assistance to any teacher who indicates interest. „Incidents" are small and more individualised interventions. They are short in duration, focus typically on one or just a few implementers, and mostly occur informally. For they are so powerful, they should be on the mind of every facilitator and be planned. Incident interventions can be of significantly greater implementation success due to this personalised help and support.

It is our conviction that change is facilitated if we understand and prioritise the care to be taken with people's beliefs and convictions, the greatest obstacle or greatest facilitator of change, therefore Tools 3, 7, 8 and 9 are suggested as well as starting with Tool 3, the "empathy maps" the management of the change process. It is very important to start by working on the state of concern of the people involved in the change process.

3.2.1. Managing concerns

Feelings and perceptions about an innovation and/or a change process can help or disrupt. When people are excited about a promising change, they will try it. But if they perceive threat or loss, people will hold back from engaging with the process. These feelings and perceptions can be categorised into what we call „concerns". In fact, everyone involved in change exhibits the same dynamics in terms of feelings and perceptions (see Tools 3 and 8).

The agreed-upon definition of the term „concern" is, according to Hall & Hord (2015), the composite representation of the feelings, preoccupation, thought, and consideration given to a particular issue or task is called „concern”. Depending on our personal make-up, knowledge, and experiences, each person perceives and mentally contends with a given issue differently; thus, there are different kinds of „concerns”.

In response to the demand, our minds explore ways, means, potential barriers, possible actions, risks, and rewards in relation to the demand. All in all, the mental activity composed of questioning, analysing, and reanalysing, considering alternative actions and reactions, and anticipating consequences is concern. To be concerned means to be in a mentally aroused state about something. The intensity of the arousal will depend on the person’s past experiences and associations with the subject of the arousal.

In Hall & Hord (2015), Hall presents seven stages of concerns about innovation: 0) “unconcerned”, concern about other thing(s) is more intense; 1) “informational”, a general awareness of the innovation and interest in learning more detail about it is indicated; 2) “personal”, individual is uncertain about the demands of the innovation, his/her inadequacy to meet those demands, and his/her role with the innovation; 3) “management”, attention is focused on the processes and tasks of using the innovation and the best use of information and resources; 4) “consequence”, attention focuses on impact of the innovation on students; 5) “collaboration”, the focus is on coordination and cooperation with others regarding use of the innovation; 6) “refocusing”, the focus is on the exploration of more universal benefits from the innovation, including the possibility of major changes or replacement with a more powerful alternative.

The ideal flow of concerns is not always guaranteed, nor does it always move in one direction. If the innovation is appropriate, if there is sufficient time, if the leaders are initiating, and if the change process is carefully facilitated, then implementers will move from early „personal-concerns” (stage 2) to „management concerns” (stage 3), during the first years of use and, ultimately, to „impact concerns” (stage 4), after 3 to 5 years.

Often, the support needed for the change process over time is not forthcoming, or the leaders fail to facilitate effectively, or, in the case of schools, the district, and state governments annually add more innovations to the point where none can be fully implemented. However, facing a challenge of a change many combinations of concerns can be imagined, but once the profile of concerns has been identified, the important work can begin. Attempting to change humans in an organisational context is a very complex, dynamic, and, in many ways, subtle enterprise for which we dare to provide the Tool 8.

3.2.2. Managing communication

In case the change be recommended in the NAPs to policy makers, schools/school leaders or other stakeholders, a first step in moving toward an improved future is the development of a shared dream or vision of what will be a vision of the future that increases inclusion in education (Tool 2). The goal of increased all students’ outcomes/inclusion could result from specific changes or innovations that are selected for adoption and implementation (Tools 1, 4 and 5). Many change efforts fail because the participants do not share mental images or pictures of what classroom and/or school practice will look like when an identified change is implemented to a high quality. Picturing the change in operation provides the target for beginning the change journey (Tool 2).

The elements of the shared vision of change must be as clearly defined as possible, and facilitators must continuously communicate this vision to enable implementers to move toward high-quality implementation. When implementers have a shared vision, facilitators can be consistent in supporting individuals and groups.

Efforts to share information about the new program or practice, and to let others know of its value and positive impact with the intention of persuading them to adopt the program, are dissemination interventions (see Tool 2 and 9). These interventions are important first steps in "going to scale." In broadcasting the virtues of the innovation, broader support and influence may be gained as well, but in this category the primary intent is to inform prospective adopters from other sites.

3.2.3. Managing the change process – planning

When an initial vision for change has been established (the vision can certainly evolve and change as the school staff experiences, learns, and gains more expertise), planning for its realisation is both possible and necessary (see Tools 5, 6 and 7). All logistical factors and resource allocations, along with policy implications, must be considered. Although it seems obvious, the planning and provision of resources represent an important means by which implementers are enabled to initiate implementation and sustain the change process. Sometimes change efforts lacked necessary resources, which forestalled the expected beginning of the change process and in the end doomed the entire effort. Planning is not a one-time event. Like a holiday trip, destinations sometimes change, and unexpected additions frequently may be made for increased effectiveness and/or satisfaction. Thus, although a plan is essential for understanding where the change journey begins, it should never be considered as cast in concrete. Likewise, the resource requirements for a change are altered across time as implementers become more expert in the use of an innovation and as the configuration of use may make differing demands. Not to be forgotten is the regular depletion of program materials and equipment and the need for updating supplies to teachers and students. Other types of resources also require planning. One of the most important and most typically lacking is time: time for planning, time for professional development, time for sharing, and projecting the time (years) it will take to achieve high levels of use. Scheduling time for implementers to meet to discuss successes and share solutions to problems has proven to be valuable, also. Establishing rules and guidelines by which implementation progress will be assessed and monitored, staffing new roles and/or realigning existing ones, scheduling meetings and other regular and nonregular events, seeking and acquiring materials and equipment, providing space, and accessing funds needed for the new program or practice (see Tools 9 and 10).

3.2.4. Managing the change process – professional learning

Change means developing new understandings and doing things in new ways. Thus, learning is the basis of and the corollary to change (cf. principle 1). Formal training and other forms of professional and personal development, then, are essential to preparing implementers for the change. And, when change is viewed as a process, learning opportunities for implementers should be ongoing as they develop more expertise in using the innovation. All too frequently, training workshops are scheduled only at the beginning of a change effort. We know that „task concerns" do not become intense until after use begins. Therefore, „stages of concern" can be used to design and shape the development and learning sessions in the pre-implementation period of preparation as well as during implementation, when implementers are changing from novices to mature users of the new practices.

Leaders of the change effort will need to consider the following interventions, and others, in the learning and development category: scheduling learning and development sessions across time as the implementers move from novice to expert; identifying and contracting with consultants (internal and external); providing information about the change; teaching the skills required of the innovation; developing positive attitudes about use of the new program; holding workshops; modelling and demonstrating innovation use; and clarifying misconceptions about the program or practice. At this point, the interventions are formal, organized, and scheduled, that is, provided as large group learning sessions.

It is important that learning and development be concerns-based and focused on the vision for the change (see Tools 2, 3, and 6). When implementers' current concerns are addressed, implementers gain the information and learn the skills necessary to use the new way well. Too often, professional development has been vague and off-target in relation to the current concerns of those out on the bridge. With a focus on the staff's concerns about its new program and practices, and on the vision of what the change will look like in operation, investing in professional learning will pay large dividends.

3.2.5. Managing the change process – checking progress

Because change does not happen overnight, the process must be continuously assessed and monitored (Tool 10). Even though a clear articulation of the change has been expressed and material and human resources have been provided, the change journey is not without its bumps and detours. A significant set of facilitator interventions should focus on keeping a hand on the pulse of change. „Empathy maps" (Tool 3) are an excellent way to check with implementers to identify emerging needs, clarify questions, and solve small problems, by applying also Tool 6. Not only does this enable the facilitator to assess progress, it also signals continuing interest to the implementers that their efforts are worthy of notice and support. Decision makers and regulatory agencies have always known that what is measured or monitored is given more attention (Tool 10 and 9). A change effort will be given more attention if facilitators continually check on how implementation is progressing. More often than not, the change effort is lost when the leaders fail to routinely check on progress. Important checking actions include gathering data about the concerns of each implementer (Tools 3 and 6); collecting information about the developing knowledge and skills of implementers; collecting feedback at the end of workshops and providing feedback on the feedback (Tool 9); talking informally with users about their progress; and, at regular intervals, systematically measuring (Tool 10), analysing, and interpreting „empathy maps" (Tool 3 and 6). It is important that data collected about implementation be analysed, carefully interpreted, and used to guide subsequent interventions.

3.2.6. Managing the process – continuous assistence

Assisting is directly coupled with assessing. When concerns, needs, and problems are identified, a response is required that resolves the issue. Assistance may take the form of supplying additional materials that address a mechanical use of the problem, providing formal or informal learning activities that address „impact concerns", teaming with implementers to demonstrate refinements, and peer observations. It makes sense to assess progress to identify needs and then to aid respond to the needs. This coupling of assessing and assisting is labelled coaching, consulting, or follow-up and typically occurs with individuals or very small groups of implementers. These are crucial interventions.

A very important assisting action is to stop by and simply ask, "How's it going?" (see Tool 9). Additional actions include responding to individuals' questions and confusions, encouraging individuals in their use of the innovation, assisting single and small-group implementers in problem solving, providing follow-up and technical assistance, conducting quick conversations about the implementers' use and reinforcing what they are doing, and celebrating successes both small and large, publicly and privately. The importance of the coaching role should not be underemphasized.

3.2.7. Managing the change process – context supportive of change

Increased attention is currently being paid to the context, climate, and/or culture of the school and district and how these factors influence the workplace and, subsequently, how professionals respond to change initiatives. Context supports or inhibits change. One of the components of context that inhibits change is the „physical" one, or nonorganic, aspects of an organisation: its building facilities, schedules, policies, and the like. The second component is the „people element": the beliefs and values held by the members and the norms that guide their behaviour, relationships, attitudes, and so on. Although the context is identified by its two parts, the parts are interactive and influence each other. For example, a small institution in a small facility (but one with an available meeting space) will find it much easier to come together to interact and build trust than would a much larger institution spread over multiple buildings. A supportive context decreases the isolation of the staff; provides for the continuing increase of its capabilities; nurtures positive relationships among all the staff, students, and parents/ community members; and urges the unceasing quest for increased effectiveness so that students benefit. In such a context the participants value change as a means for improving their effectiveness and seek changes to improve their practice.

Such a context should already have been a permanent part of the climate/culture of the schools and district. If such a context does not exist, a few ideas for generating this positive climate are to use actions that allow for relationship building, such as making clear to the implementers that they are doing important work; developing trust between and among all the individuals doing the implementation; and recognising and applauding the efforts of each person who is giving time, attention, and energy to the school's efforts to improve (Tool 9). When things fail or go wrong, help individuals to see it as an opportunity for learning, changing, and trying again.

TOOLS FOR CHANGE IN EDUCATION

Tool #1. Applying Soft Systems Methodology (SSM) to Change Management

Target group (who can use it)

Any agent of change in education

Short description

„*National Adaptation Plans*" (NAP) foresee change in education, while presenting recommendations to several stakeholders in an education system to deepen social inclusion in their respective contexts. According to Viennet and Pont (2017), agents of change must realise that any change in education occurs within a system. So, we believe that to be able of thinking systematically while considering change in education is necessary. And Soft Systems Methodology (SSM) has been adopted to manage change since the 1970s. Being a well-tested methodology, it is not able to solve all the problems, no one is, but we believe it may be successfully appliable along the endeavours ahead.

SSM proposes to follow a set of stages in a way of securing commitment and considering a variety of interests always involved in a change process within a system. Along that way, namely in stage 1, Tools 2 and 3 will be used; in stage 2 and 3, Tool 3 is still used. So, for applying SSM, read carefully the „Detailed description of the tool and required material, attachments" bellow and follow the steps.

Detailed description of the tool and required material, attachments

Any educational context is a 'human activity system' (people working together to achieve something), i.e., an open system wherein materials, energy and information with the environment are exchanged. For that to be understood, systems thinking suggests that issues, events, forces, and incidents should not be viewed as isolated phenomena but seen as interconnected, interdependent components of a complex entity.
Thus, whenever change is at stake, several problems arise:

- organisation goals are matters of controversy; (organisational goals, set by top leaders, are assumed to be embraced by all members of the organisation, but this is not usually the case).
- formal methods usually begin with a problem statement, which may hide more basic problems; (for instance, the option to adopt inclusive practices in education maybe be neglecting the issue of poor-quality teaching practices).
- the adopted method (inclusive good practice) itself restricted what could be found out.

SSM propose to overcome those problems based on the following principles (JISC, 2012):

- problems do not have an existence that is independent of the people who perceive them.
- solutions are what people perceive to be solutions.
- people perceive problems or solutions differently because they have different beliefs about what the situation is and what it should be.
- problems are often linked to 'messes'.
- the analyst, researcher, consultant, or manager trying to solve the problem is an integral part of it.

Thus, according to SSM, to manage change, 7 stages should be followed initially:

1.Problem expression. In the development of the STAIRS' project, partners will face a problem: the implementation of „National Adaptation Plans" (NAP). Possible agents of change in the respective national contexts must be acquainted with and convinced that the NAPs recommendations apply and will solve issues of inclusion they are facing, which constitute a **problem** that needs to be expressed and addressed by whom that will be leading the change process. To collect the problem expression, two things must be done: one, to disseminate the NAP's content in order that can be known and later appropriate by the implementers; and two, to collect the implementers perceptions of the NAP. For the first, a "Communication Plan" must be drawn and implemented (Tool 2); for the second, an "Empathy Map" (Tool 3) must be filled in by everyone involved.

2.The situation analysed. Filling in Empathy Maps (EM) will provide a picture to understand all the elements that people think are involved in the problem, such as purposes, desires, fears and so on... EMs show how and whose interests agree or conflict. When analysed, issues and key tasks emerge.

3.Relevant systems and root definitions. The issues and key tasks, which emerges from the EMs, become the basis for defining relevant systems. From the analysis of the EMs, people involved can agree on has to stand out. The root definition, i.e., what is agreed, and what is still up for discussion, and that many important (but not yet agreed) things might not be mentioned. Achieving a truly agreed root definition (at least for the time being) is probably the most beneficial part of SSM.

4.Conceptual model. At this stage, those involved model 'their' ideal system to do the work. The project team will draw the project (see in the introduction to this CMT the difference between "project", focused on work tasks, and "change", focused on people). Criteria for choosing the best one is suggested by SSM – the five Es – efficacy (will it work at all), efficiency (will it work with minimum resources), effectiveness (does it contribute to the enterprise), ethicality (is it moral) and elegance (is it beautiful).

5.Comparison of steps 2 and 4. The conceptual model is then used for comparison with the current system. What is stopping us to do things the „ideal" way? Why do we do things the way we do them? How do we measure up to the five E's criteria? Did the results confirm our intuition? Using the knowledge gained there, to map the effects of the proposed changes on stakeholders, and add those to the project as goals/objectives to be achieved.

6.Debate of feasible and desirable changes. Building on step 5, through debate, an agenda, comprising of feasible and desirable changes can be put together, and opinions about the root problems can be changed, and finalise the project.

7.Action. Finally, the agreed changes need to be implemented developing the project (Tool 5) that was drawn, for which a project management plan must be drawn and a respective team to be appointed. It is time now for the „Change Plan" to be drawn as well (Tools 6, 7, 8, 9 and 10).

It is unlikely that the outcome will match the agreed change exactly. The hope is that some of the issues agreed in the early stages will not surface. SSM is a way of securing commitment and considering a variety of interests.

Users' guide, equipment

Equipment	Quantity
Communication plan (Tool 2)	1
Empathy Map (Tool 3)	Depending on the option (1,2 or 3) for the implementation of his tool
Project plan (Tool 5)	1
Change plan (Tools 6-10)	1

Level of difficulty (easy, medium, advanced)

Advanced

Tags

Securing commitment; Getting involvement

Tool #2. Communication Plan

Target group (who can use it)

Change leaders

Short description

This tool orients change leaders to draw a „Communication Plan" for the „National Adaption Plan" (NAP) be presented to policy makers, professionals, and stakeholders who either must carry change out or support it. For that purpose, change leaders should follow two main steps:

1. To read carefully the „Detailed description of the tool and required material, attachments"

2. To fill in the provided templates, by the order they are mentioned below, bearing in mind the principles, key points and essential blocks referred. It is important not to neglect and/or miss any point.

Detailed description of the tool and required material, attachments

In a system/organisation, communication is not only keeping professionals/stakeholders informed, but to fostering greater engagement and maintaining a sense of belonging. So, the following principles must be kept in mind, while drawing a Communication Plan (Bates, 2021):

1.Connect the dots

Therein, communication connects the dots between values and behaviour; strategy and results; and change promises and professional experiences. Putting a values/strategy/change option lens on decisions made provide important connections that can be communicated through key messages. Throughout a transition, it is increasingly important that professionals and stakeholders feel connected, productive and with access to the tools they need to be informed and aligned from any device or location.

2.Influence culture

In managing a change, it's important to look at the common threads (highlighted by the Empathy Map). What beliefs do leaders of the change process and professionals have in common (information provided by the content analysis of the Empathy Maps)? How do they live or come to life in that process? Are some one losing out on that experience? Are some one losing out on helping to shape the culture? And if the answer is yes, how do change leaders think differently to drive those same shared beliefs and values? While the simple act of communicating puts people at ease, providing flexible rules and regular routines will help everyone feel comfortable, and will help promote a positive culture, regardless of where your professionals work.

3.Provide clarity

The most important role communication professionals can provide, in the beginning of a change process, is making what is complex clearer. They need to think about how to communicate changes in a way that will resonate with and be understood by professionals/stakeholders. It's important not to add to the noise. It's also okay to communicate these changes in bite-sized pieces. The old way of thinking was that we need to have all the answers before we say anything. Think instead about the conversation you are having with professionals/stakeholders. What do they need to know right now and set expectations on what decisions will be made next? Instead of writing the novel, provide information they need now with a promise of more information being shared at relevant times.

4.Build community

When thinking about community building, the role of communication is to both share the organisation's stories and help professionals/stakeholders tell their own. For implementing a change, think about whether everyone is getting the same community experience and whether new opportunities need to be adopted to build community so no one feels left out.

5.Showcase care and compassion

'People don't remember what you said. They remember how you made them feel' (Maya Angelou, cit. in Bates, 2021). Recently, new words emerged to describe successful organisations and leaders. The words empathy, honesty, authenticity, truth, compassion started to be used more often, especially when professionals needed to feel safe and stable in what felt like a scary world. Communication played an important role supporting leaders in providing information to followers and helping them feel valued and cared for.

6.Celebrate

Recognition has been an important part of feeling valued and communication plays an important role in celebrating success for the organisation and its people. It is important to think about representation. Leaders of change should pay attention to who gets recognised. Are there people that get missed or forgotten? One must be careful with the out-of-site, out-of-mind potential that makes those who have access to leaders and managers seem more valuable than those who don't.

7.Personalise, customise, and target communication content

The reality is that depending on the professional/stakeholder, and where they're based, the messages may simply have to be different. Centralised communication structures may need to adapt. Leaders must regularly pulse check professional sentiment throughout the transition, regardless of where they're working.

8.Manage channels

A channel strategy has always been important for communication in a process of change and is even more important as ways of working become more complex. What are the best channels to use to communicate with professionals/stakeholders? How often should the organisation communicate? How do these channels change based on the professional's matrix (see Channel Matrix Template below)? Are there channels or platforms that need to be added to help communicate more effectively and efficiently? This is the time to have these conversations and identify any gaps that may exist so that leaders can proactively fix them. Today's organisations communication technology allows us to customise information based on who needs to know what so that leaders create less noise.

The essential building blocks of a Communication Plan

1.Be careful with definitions

Many terms have been talked about when describing educational inclusive good practices. It's important that change leaders begin by getting correct definitions for their organisations. Change leaders must keep in mind that every phase of change will require an accurate description. What's important to keep in mind is that the new means it's important to get professionals analysis created to drive consistency across the organisation and clarity of how individuals will be referred to including an understanding of their unique needs.

2.Create a team

Change leaders must have access to information regularly. The best teams include an executive sponsor and representation from key departments including people in charge for internal and external communication, IT, and Facilities/Operations. It's important to have the right people to consider all scenarios.

3.Ask for the operations plan

For the STAIRS' learning partners to create the NAP communication plan, they should have an operations plan (Project Plan – tool 5, which is different from the Change Plan – the set of the tools herein presented), which most likely does not exist, considering the development of the project. So, it's important that those change leaders ask some key questions about what is coming so that they can communicate clearly.

<u>Questions to ask:</u>

What does success look like with the NAP implementation?
What are the education goals of this transition?
What is changing compared the present situation?
What is staying the same for professionals compared to the present situation?
Does this change impact everyone the same way? What are the differences?
What are the various groups/scenarios we will have to consider with the NAP implementation?
Will professionals have a choice to adhere or not to the changes?
Why did the learning partners make the decisions they did?
What do these decisions mean for the educational system?
What do these decisions mean for professionals/stakeholders?
What will professionals celebrate about these changes?

What will professionals struggle with?
Will changes happen all at once or in phases?
What role will each department play from a communication perspective for the program?
- Who will lead (executive spokesperson)?
- IT related items
- Day-to-day educational changes

4. Control what can be controlled
A leader of change should focus on his/her communication plan. Identify common terms, the various professionals, and phases, create his/hers plan and continue to ask questions. Know that his/her communication plan may change as the organisation learns more and updates decisions.

5. Think about ALL professionals
Change leaders should take the time to identify ALL his/her professionals. It is important to describe every professional and identify their communication needs and channels. Once these groups are defined, there is an opportunity to understand what and if anything changes for them. Leaders must use definitions to provide consistency with how everyone communicates moving forward. It's also important to understand how changes impact the various groups differently. As part of a change framework previously mentioned, it's important to clearly define what starts (new because of this change); what stops (is no longer done) and continues (stays the same as before). Some people forget to communicate what stays the same and it's a missed opportunity to create comfort with the change leader audience since often, with any change communicated, there are a lot of things that remain the same (see All Professionals/Stakeholders Template).

6. Now, create the Communications Plan
Everyone will have their own version of a strategic plan that works for them, but the following should help get the change leader start with key elements necessary as he/she manages this important change for his/her organisations and professionals (see Communication Planning Template).

Users' guide, equipment

Equipment	Quantity
Channel Matrix Template	1 (filled in as many times as necessary)
All Professionals/Stakeholders Template	1
Communication Planning Template	1 (revised as many times as necessary)

Level of difficulty (easy, medium, advanced)

Advanced

Tags

Communicate; Be heard; Be understood; Be followed

Channel Matrix Template

Vehicle	**Purpose**	**Audience**	**Direction**	**Frequency**	**Owner**	**Custom**
...						

Check all tools that you are interested in using for your project communications. Most audiences require multiple communication channels to be reached effectively.

MESSAGING FROM EXECUTIVES
- ☐ Educational Authorities
- ☐ Project Leadership
- ☐ ...

EMAIL
- ☐ Cal Message (broadcast email)
- ☐ Cal Message (subscription lists)
- ☐ Other email lists

ELECTRONIC MEDIA
- ☐ Departmental Website
- ☐ Presentation Slide Deck
- ☐ Project Blog
- ☐ Project Website
- ☐ Project WIKI
- ☐ Partner Website
- ☐ System Notifications
- ☐ Videos

SOCIAL MEDIA
- ☐ Instagram
- ☐ Facebook
- ☐ LinkedIn
- ☐ Slack
- ☐ Snapchat
- ☐ Twitter
- ☐ YouTube
- ☐ Virtual Chat Rooms
- ☐ Wisdom Café

EDUCATIONAL TOOLS
- ☐ FAQs
- ☐ Infographics
- ☐ Information Kits
- ☐ Job Aids
- ☐ Training Manuals
- ☐ Training Workshops

PUBLICATIONS
- ☐ ...

PRINT MEDIA
- ☐ Banners
- ☐ Brochures
- ☐ Fact Sheets
- ☐ Newsletters
- ☐ Post Cards
- ☐ Posters

MEETINGS
- ☐ 1:1
- ☐ Department Staff Meetings
- ☐ Unit Staff Meetings
- ☐ Team Meetings
- ☐ ...

EVENTS
- ☐ Project Launch
- ☐ Project Road Show
- ☐ Town Hall Meetings
- ☐ ...

STAFF GROUP PRESENTATION
- ☐ Chief Administrative Officers
- ☐ HR Network
- ☐ Manager/Supervisor Forum
- ☐ ...

All Professionals/Stakeholders Template

Professional/ Stakeholder Type	Description	Communication Needs	Preferred Channels	What Starts	What Stops	What Continues
Students						
Parents/Families						
Community (in general and/or any stakeholder in particular; this block may need to be divided)						
Teachers (this block may need to be divided)						
Non-teaching staff						

(this block may need to be divided)						
School leaders (this block may need to be divided)						
Educational technicians (such as Psychologists; this block may need to be divided)						
Education authorities (this block may need to be divided)						
...						

Communication Plan Template

	Phase 2 – presentation of the NAP	**Phase 3 – change starts**	**Phase 4 – change fully operational**
Goals/Objectives			
Educational Goals			
Professionals/Stakeholders Analysis			
Professionals/Stakeholders impacted			
Key messages			
Tactical Plan			
. Implementation/tactical plan . Timelines . Resources			
Evaluation			

. Measuring success linked to goals and objectives . How will they be measured? . When will they be measured?			

Adapted from Bates (2021)

Tool #3. Empathy Map

Target group (who can use it)

People to be involved in the implementation of change

Short description

1.In SSM stage 1, leaders of the change process shall provide EMs to the NAP's implementers to fill in 2.Content analyses of the EMs filled in 3.Proceed with stage 2 of the SSM

Detailed description of the tool and required material, attachments

To make a change in education, such as those who will implement the NAPs' recommendations, demands beginning the process with a deeper understanding of the people coming to carry it out. To gain those insights, it is important for the leaders of the change process to empathise with the implementers so that the leaders can understand the implementers needs, thoughts, emotions, and motivations. For that, the „Empathy Map" (EM) stands out as an adequate instrument to collect data. The Empathy Map is a "design thinking" tool and it was created with a specific set of ideas and is designed as a framework to complement an exercise in developing empathy.

A vast literature points out that about 70% of change processes fail due to the lack of engagement from people responsible for carrying it out. So, it is not enough to communicate well, it is necessary to get the implementers involved. And engaging with people reveals a tremendous amount about the way they think and the values they hold. A deep engagement can surprise both the leaders of a change process and the implementers by the unanticipated insights that are different from what they do – are strong indicators of their deeply held beliefs about the way the world is. So, following the Communication Plan, EMs shall be filled in by the implementers and the content analysed by the leaders of the change process. Depending on the number of implementers, one has **3 options** to lead the process:

Option 1

In a face-to-face session (or even during a webinar, adopting the necessary changes imposed by the virtual environment) one can draw a diagram with the several quadrants of EM (see this tool template ahead) in a board or a flipchart. Then, participants are asked to write their ideas, feelings and so on about the NAP on sticky notes of different colours, using one sticky note per observation and place it within the appropriate quadrant. Within each quadrant, cluster sticky notes that relate to each other. Choose one person to play back the EM. Label anything on the map that might be an assumption or a question for later inquiry or validation.

Option 2
EMs can be provided in paper sheets to be filled in, as an activity of a session of the „Communication Plan" (Tool 2) implementation, which afterwards should be analysed following the methodology of content analyses to identify the implementers needs, thoughts, emotions and motivations, i.e. to synthesize and find out the main categories of each quadrant.

Option 3
In case the number of implementers be too large, a significative sample of implementers can be selected, by the change leaders, to fill in the EMs, which will be afterwards submitted to a content analysis to design a survey to be spread among the large number of implementers through a Google Form or SurveyMonkey.

Users' guide, equipment

Equipment	Quantity
Board/Flipchart/	1
Markers	1-4
Sticky notes	Depending on the number of participants/different colours
Pens	Total number of participants
Computers	One per participant
Webinar platform	1
Jam board/Padlet/Lucidchart/Mindmeister/Popplet	1
Empathy Map template (paper sheets)	Total number of the NAP implementers
Survey	idem
Google Forms/SurveyMonkey	idem

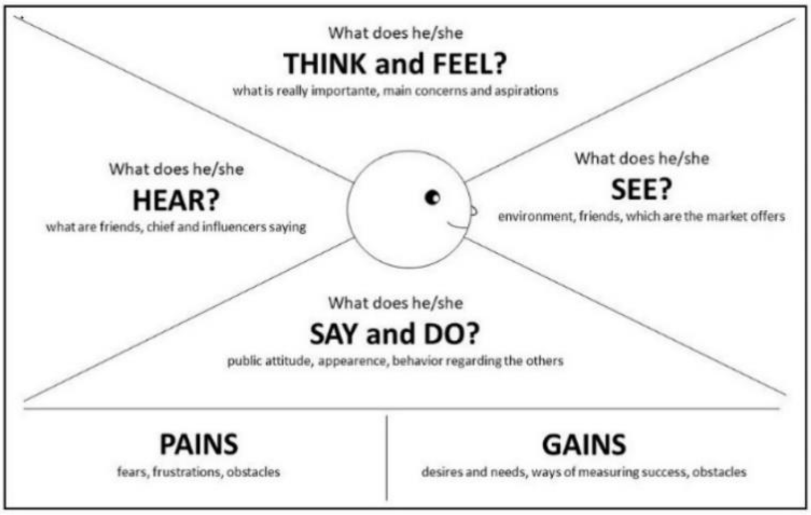
Level of difficulty (easy, medium, advanced)

Medium

Tags

Empathising; Getting involvement; Building confidence

Empathy Map Template



Adapted from *https://www.nngroup.com/articles/empathy-mapping/*

Tool #4. Feasibility of a policy implementation

Target group (who can use it)

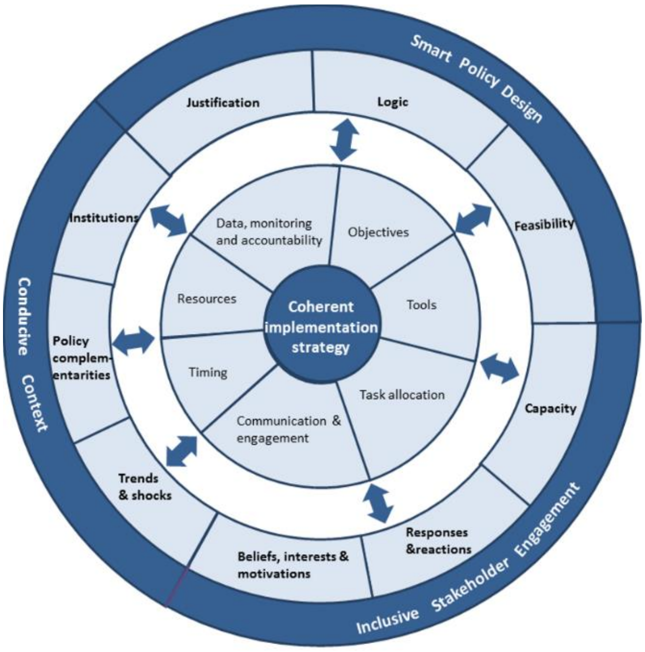
Policy makers envisaged in the NAPs

Short description

This tool is a check list provided by Viennet and Pont (2017) for agents of change in education to help them to develop a coherent strategy in the implementation of educational policy. To use the respective template, do first read throughly the detailed description below.

Detailed description of the tool and required material, attachments

According to Viennet and Pont (2017), a well-designed strategy is not sufficient to guarantee effective implementation. Even if the NAPs present the most thoughtful recommendations it will be necessary to keep in mind while presenting a framework that is directed to policymakers, that implementing education policy is multidirectional as the diagram below shows.



Source: Viennet and Pont (2017, p. 43)

The process must be piloted by a group of actors close with or mandated by policy makers to reach specific objectives, but it can be influenced by actors at various points of the education system, such as schools, parents, local or regional education authorities. It must also be noted that education policy implementation always needs to be contextualised: the process' features vary because it is embedded in the structures of a given education system at a given time, with particular actors, and around a specific educational policy. The central role of context shows that 'there is no one-size-fits-all model' for implementing education policy. One must thus pay attention to the specificity of the policy, stakeholders and local context to analyse or make recommendations about the process. Yet a common framework can help to structure the analysis, and guide the implementation process. With a generic framework, we hope to provide a tool that helps identify and analyse the determinants of success in education policy implementation.

Vinnet and Pont (2017) provided a definition of education policy implementation and proposed a generic framework to guide thinking, analysis and action in this area. The table below (Feasibility of a policy implementation template) translate this framework into a set of questions and principles for action, to help policymakers go from speech to practice and adjust to the realities of complex systems. This framework is proposed for an implementation advisor or for policymakers who would intervene at the national or regional level when an education policy must be implemented. It can be used as a starting point for analysis and support in the process of launching and implementing an education policy to ensure it reaches schools. The table builds on the four dimensions for effective education policy implementation (smart policy design, inclusive stakeholder engagement, conducive context, and coherent implementation strategy) with questions and principles for action. To analyse the first three dimensions (in the horizontal entries in the Table), column 2 proposes as set of guiding questions. To make it actionable, column 3 proposes principles to guide the development of a coherent implementation strategy.

This table can be the base for a Google Forms or Excel page to facilitate gathering actors insights, opinions, sugestions, etc.

Users' guide, equipment

Equipment	Quantity
Google Forms	1
Excel	1

Level of difficulty (easy, medium, advanced)

Easy

Tags

Planning for action

Feasibility of a policy implementation template

		Coherent implementation strategy
Smart policy design	What is the purpose of the policy? What problem does it aim to respond to? What is done elsewhere / has been done in the past about this problem?	Use knowledge that is relevant to the policy and to the local setting
	What is the vision? What are the goals? Are the vision / goals shared or are they conflicting?	Agree on a small number of simple, ambitious and measurable objectives
	Who are the targets? Are the policy targets aware they are expected to change / do they agree?	Set up a monitoring system to get frequent and reliable data without interfering with the implementation process
	What is the policy supposed to change to achieve the vision? Is the causal theory coherent? How have other government carried out similar policies concretely?	Adjust the implementation process based on the data and feedback collected Agree on the relevant tools to carry out the policy
	How feasible is the policy? What are the existing resources? Is it enough?	Set up a realistic timeline Secure the resources and plan for the whole duration of the implementation process

Inclusive stakeholder engagement	Who are the key stakeholders affected by the policy? What are the relationships between key actors? Can they work together? How to get them to collaborate? Who is needed to implement (steer the process, deliver a service, train the staff, etc.)? Who was instrumental in implementing this type of policy elsewhere? Are they capable of fulfilling the task? (resources, skills) If not, how to build their capacity? How will implementers be held accountable to the public (accountability mechanism)? Who are the actors who might interfere with / facilitate the implementation process? How to get them on board?	Engage key stakeholders and take into account their vision (if not done during policy design) Use their knowledge to make the implementation strategy more practical engagement Agree on the distribution of tasks and responsibilities Work with the key actors to build their capacity Adapt the accountability mechanisms to the local context Set up simple ways to communicate between actors Communicate clearly about the policy (use shared vision, adapt the level of speech)
Conducive context	What is the institutional setting already in place to support education policy implementation? Do the mechanisms needed for this policy fit with the existing? If not, how to make them fit? What are the trends and likely shocks outside the implementing system that could affect the process (social, economic, political, demographic; on the local, national and global levels)? What can help the implementation effort and how to harness it? What can hinder the process and how to cope with it? Are there any other policies that tackle this problem? How could they interfere with / complement each other?	Make use of the existing setting before creating new institutions, or create institutions that fit well with the existing (especially for incremental policy changes) Prepare several scenarios of what could happen and the plausible strategies and resources to face it Avoid overlap and inconsistencies between policies Use the complementarities that exist between policies

Adapted from Vinnet and Pont (2017)

Tool #5. Project plan

Target group (who can use it)

School leaders and Project plan work team

Short description

This tool is intended to recall the steps of a Project plan to school leaders and the work team assigned to draw and manage the project.

Detailed description of the tool and required material, attachments

The Project plan (which is different from the Change plan) must include:

- **Beliefs:** Statements of core values and assumptions about the organisation, its members, its beneficiaries, stakeholders and how things work, regarding inclusion in education.
- **Vision Statement:** A sentence or single paragraph that describes an ideal view of the world that the organisation serves (in some cases, this will be the organisation's ideal view, in this case should be about inclusion in education).

- **Goals:** General statements of the desired accomplishments for the organisation over the next 6 months to 5 years.
- **Mission statement:** An outline of the purposes and products/services of this organisation that will contribute to achieving the vision.
- **SWOT Analysis:** Description of Strengths, Weaknesses, Opportunities, and Threats
- **Strategies:** A set of plans, resources, and activities are described that will be used in combination with others to accomplish each goal.
- **Action plan:** The specific objectives, tasks, activities, assignments, and timeline for the work that will be done.
- **Indicators:** Areas of evidence that could be used to benchmark progress toward accomplishing objectives, strategies, and goals.
- **Measures:** The specific pieces of data that will be collected and used to make judgments about progress.
- **Cost–benefit analysis**: An analysis of the direct cost (time, money, and other resources) to do a task, which is compared to the potential gains (tangible and intangible) and can be used to judge the potential "return on investment".
- **Opportunity cost:** An examination of the other tasks, activities, and accomplishments that will not be done, or done with less priority, in order that those identified in the plan can be done.

Users' guide, equipment

Equipment	Quantity
Computer	1 for each member of the work team
Diverse software	Project management software: Microsoft/Meister/Basecamp/Nifty/Teamwork
Printer	1
Paper	As much as necessary
Post its	As much as necessary

Level of difficulty (easy, medium, advanced)

Medium

Tags

Planning

Tool #6. Change readiness assessment

Target group (who can use it)

Change leaders and managers, stakeholders, and professionals/practitioners

Short description

Having the change leaders and the work team a Project plan drawn, the next step should be applying the "Change Readiness Assessment". This tool will allow change leaders and managers to assess the readiness of each team(s) member and/or stakeholder(s) for the envisaged change. This assessment will be useful to design and manage the next step "Behaviour Change".

Detailed description of the tool and required material, attachments

Change Readiness Assessment Template comprises a set of questions distributed in five categories: awareness, desire, knowledge, ability, and reinforcement. The answer to the questions under those categories will provide useful information for leaders of change to plan and manage the behaviour of people involved in implementing the change at stake. The information gathered with that survey will provide a concrete picture where everybody involved stand on and start from. It will also provide insights to understand and manage personal transitions later (see Tool 8 for more details and deeper understanding).

Thus, the questions of the template below should be used to produce a Google Forms/SurveyMonkey to be applied to people involved/get involved in the foreseen change through Internet. Respondents should be encouraged to respond as carefully and truly as possible to validate the information thus collected. The answers to the questionnaire can be treated through descriptive statistics and/or even carry out some correlational analyses, for example between awareness, knowledge, and ability; or between desire, knowledge, and ability; or between desire and reinforcement; or others that are considered useful for planning and managing change.

Users' guide, equipment

Equipment	Quantity
Change Readiness Assessment Template	1
Google Forms/SurveyMonkey	1
Statistics analysis software as SPSS	1

Level of difficulty (easy, medium, advanced)

Easy to apply, medium to analyse

Tags

Preparing Behavioural Change

Change Readiness Assessment Template

☐ **Team:**__________________________ ☐ **Stakeholder:** __________________________

Questions to Assess Change Readiness	**Yes**	**Partial**	**No**
(Awareness) Does your team or does your stakeholder understand…			
1. the problems inherent in the current situation?			
2. the opportunities that are being missed if the change doesn't happen?			
3. what is trying to be achieved?			
4. how things will be better?			
5. how the change will impact their area of work?			
6. what their role will be in the future state?			
(Desire) Does your team or does your stakeholder…			
1. know that management is aligned with the change efforts?			
2. feel their concerns, questions, and needs are being heard?			
3. feel hopeful about the future?			
4. see value in the change?			
5. believe a well thought out strategy is being put in place to achieve the change?			
(Knowledge) Does your team or does your stakeholder… (skills, informational, training)			

1. have the necessary information, knowledge and skills to successfully fulfil their role?			
2. know where to go for additional information about the change?			
3. know what campus resources are available to support the personal side of change?			
4. know what success looks like?			
5. have a plan to achieve success?			
6. know which behaviours will need to change?			
(Ability) Does your team or does your stakeholder… infrastructure (systems, tools)			
1. believe that the organisation has provided appropriate resources (time, staff, information, etc.) to support the anticipated change?			
2. have the necessary systems, processes, and policies in place?			
3. have the ability to execute the new behaviours required for the change?			
4. know how to perform the required tasks?			
(Reinforcement) Does your team or does your stakeholder…			
1. view management as a resource for removing/overcoming barriers?			
2. have mechanisms in place to reinforce the required behaviours?			
3. have metrics in place to assess the ongoing effectiveness of the change?			
Total			

Adapted from Berkeley University of California, Change Management Toolkit

Tool #7. Behaviour Change Plan

Target group (who can use it)

Change leaders and managers

Short description

To Plan Change Behaviour, leaders and managers of change should get the answers to the questions listed below and go through the „Detailed description of the tool and required material, attachments", follow the steps indicated, using the template provided (Behaviour Change Plan Template).

Detailed description of the tool and required material, attachments

To achieve successful implementation, changes in individual behaviours are required. Behavioural changes cannot be left to chance; they must be proactively planned for. A behavioural change plan defines what success looks like, so it can be measured after the change is implemented. The most successful behavioural change plans look at the:

- Behaviours that need to change
- Systems, processes, and procedures that need to be in place to ensure success
- Other preparation activities required (e.g., training)
- Consequences necessary to sustain behavioural change

Using the questions below, a behavioural change plan is created by the team, for the team, to ensure sustained behavioural change:

1. What behaviours need to change?
2. What does success look like? How will you measure it?

3. What knowledge, skills, and abilities are needed to ensure new behaviours?
4. What systems and tools are needed to support the behaviour change?
5. What new policies, procedures, and/or processes are needed to support the behaviour change?
6. What training is needed to support the behaviour change?
7. What organisational assistance is available to emotionally support the professionals?
8. What reinforcements/consequences need to be in place to sustain behaviour change?

The image below illustrates the procedures of this tool. The leader creates an initial draft of the plan which is distributed to the team to obtain feedback. The team's feedback is then incorporate into a revised plan to achieve buy-in prior to implementation.

Users' guide, equipment

Equipment	Quantity
Computer	1
Behaviour Change Plan Template	2 (draft and revised plan)
Paper	As much as needed

Level of difficulty (easy, medium, advanced)

Medium

Tags

Changing behaviour

Behaviour Change Plan Template

Behaviours that need to change	**Systems, processes, and procedures to be in place**	**Other preparation activities required (e.g. training)**	**Milestones (consequences needed to sustain behavioural change)**
…			

Tool #8. Manage Personal Transitions

Target group (who can use it)

Change leaders and managers

Short description

To manage personal transitions, leaders should use all the tools and templates provided in this tool.

Detailed description of the tool and required material, attachments

For a long time, it was thought that change was a consequence of more information, of more knowledge. However, with the development of neurosciences, namely with the work of António Damásio, it became known that reason and emotion work together, namely in decision making. Theories of motivation also stresses that without emotion there is no motivation (no energy) to get things done. Highly successful change efforts find ways to help others see the problems/solutions in ways that influence emotions and "manage concerns" (Hall & Hord, 2015).

Often what looks like resistance is "concern" or "exhaustion". Motivation provides the energy that a person in a process of change needs to maintain self-control and overcome concerns.

<u>Make people feel the need for change</u>

Find the Feeling
Knowing something is not enough to cause change. When people fail to change, it is usually NOT due to a lack of understanding. Analytical arguments don't motivate; emotions motivate. Eliciting negative emotions can motivate quick/specific actions, but eliciting positive emotions is a better approach when broadening/building actions are needed for the change effort.

Shrink the Change
When a task seems too big, or a journey too long, the person becomes emotionally overwhelmed and resists. People get easily demoralised and they need a lot of reassurance. One way to make the change less daunting is to help people create impact and feel closer to the finish line by proactively planning for quick wins and creating easy to reach milestones. People find it more motivating to be partly finished with a longer journey than to be at the beginning of a shorter journey. Quick wins and easy to reach milestones, create a sense of progress and immediate impact and make the change effort seem less daunting. These create feelings of hope and increase the people's confidence that the change can succeed. Feelings of hope and confidence are motivating to people in a process of change.

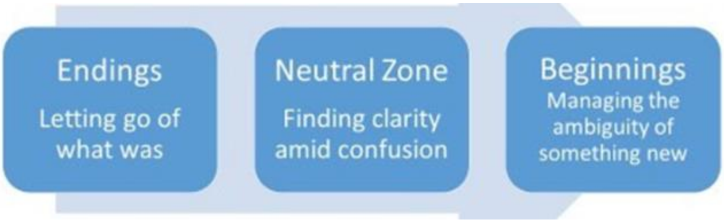
Grow Your People
Any pursuit, event one that is ultimately successful, is going to involve failure and people really, really, hates to fail. Failure triggers a "flight" instinct. To keep people motivated, adopt a learning frame to assist the people emotionally in having a growth mindset. Lasting change is rarely a smooth journey. More often, it is experienced as three steps forward and two steps back. Create the expectation that while the overall mission will NOT fail, failures are expected along the way. People will persevere if it expects the journey will be hard before it is easy, and if it perceives falling as learning rather than as failing. (Berkeley, w/d)

Transition Model (Bridges, 2017, in Berkeley, w/d)
As a leader of change, it is important to recognise how change will impact the emotional experience of a follower. One way to understand change is in terms of situation and transition.

Change is situational. It is a disruption of expectations (e.g., new worksite, manager, roles, policy, processes, technology, etc.). Every change, even the most longed for, requires leaving something behind and letting go.

Transition is psychological. It is the process people must go through to come to terms with the new situation. It requires letting go of something, grieving in some way, experiencing feelings of loss and processing those effectively to move forward. This requires time and, since it is experienced internally, it may be invisible or hard to observe in others.

The transition process has three stages:

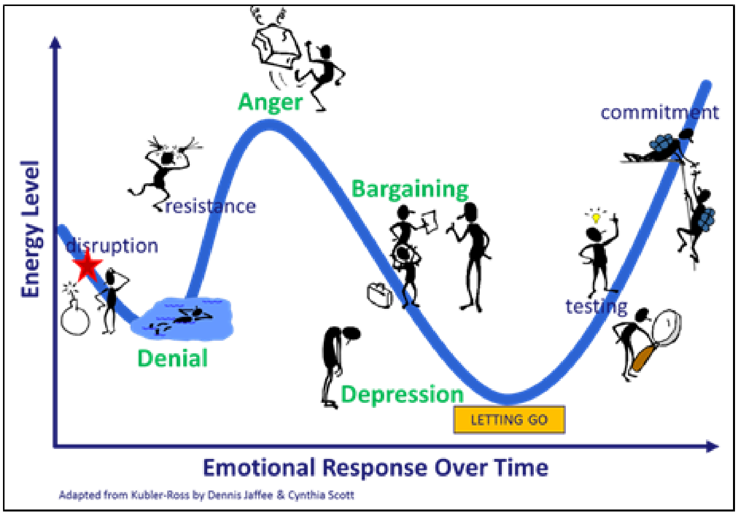


The work of **Endings** is letting go of the way things have been, including acknowledging what will end and what will be retained in the new.

The work of the **Neutral Zone** is finding clarity amid confusion. This is the space between the old familiar way and the future state. It is filled with both danger and opportunity. It feels like being between trapezes, where there is nothing to hold onto.

The work of **Beginnings** is managing the ambiguity of starting something new. It requires understanding why the old way had to change, having a picture in mind of the future state, a plan for getting there, and a role in the new state.

Change Process Model (Kubler-Ross, 1969, in Berkeley, w/d)
Another way to understand change is Elizabeth Kubler-Ross' Grief Cycle Model (1969) illustrated here. This model, originally used to explain an individual's bereavement change journey, is also widely used to explain the emotional responses people experience during other forms of change.



The model identifies an individual's emotional journey over time. A leader must support people differently at each of the different emotional stages. The stages of change are:
• Denial
• Anger
• Bargaining
• Depression
• Acceptance
While the journey appears sequential, in real life people move through the stages at different rates. Some individuals go through the stages in a rather linear fashion. They seem to zip right though the resistance parts of the journey, moving rather quickly straight to acceptance. Others may get stuck for a period at a particular stage. They have trouble "letting go" causing them to get stalled along the way.

When multiple changes are staggered or simultaneously occur in an organisation during a short period of time, it is not uncommon for an individual to revert to an earlier stage as the next wave of change hits.

Interestingly, all individuals tend to go through the same emotional journey whether they perceive the change as a positive (something they've chosen) or as a negative (something that has been thrust upon them). People often wish they could skip the resistance part of the journey; they can't. They must go through each of the stages to let go of the past and move forward into the future.

A leader will notice his/her followers moving through the stages of change at different rates. To set the team up for success, it will be necessary to be attentive to the emotional stage everyone is experiencing and adjust his/her support accordingly. In addition to being a resource for the leader's team, he/she will want to use the strategies below (see Change Process Indicators & Strategies Template) to provide support his/herself as well.

In the Change Process Indicators & Strategies Template are listed behavioural indicators along with various strategies to use at each stage to help the leader generates a plan to provide individual support. Recognising and proactively responding to the needs of each follower at each stage will help mitigate resistance and provide momentum to move followers forward through the change journey.

Another way to effectively manage resistance to change is to tap back into leader own core values and find a way to anchor one or more of them to some aspect of the change. At the time a change is announced, the Core Values Exercise Template may be used proactively to create emotional resonance and assist the leader in supporting the change from a place of authenticity. If the change is already underway, the tool may be used reactively to help you mitigate internal resistance and continue moving you forward through the change journey.

For example:

- If one of the leader Core Values is **Creativity**, and he/she believes the change will bring him/her more opportunities to be creative in his/her job (doing less repetitive/routine work) then this would contribute to he/she supporting the change.
- If one of the leader Core Values is **Responsibility**, he/she may be able to tie supporting the change efforts to what it means to him/her to be "responsible" at work and be able to support the change authentically from that perspective.

Finally, the change leader must bear in mind and apply the Best Practices for Leading Change – What to Do & What NOT to Do listed in the Template below.

Users' guide, equipment

Equipment	Quantity
Change Process Indicators & Strategies Template	1 for each leader/manager of the change process
Core Values Exercise Template	1 for each leader any time it will be found appropriated to be used
Best Practices for Leading Change – What to Do & What NOT to Do Template	1

Level of difficulty (easy, medium, advanced)

Medium

Tags

Change Process Indicators & Strategies Template

Denial Stage

You See:

- Indifference
- Disbelief
- Going through the motions
- Avoidance/Withdrawal

You Hear:

- Silence
- "It's OK"
- "It will never happen"
- "It won't affect me"
- "All we need to do is…"

Strategies:

- Provide frequent, consistent information about the change; explain what to expect and actions to adjust
- Clarify what is changing and what is not
- Place change in broader context
- Address rumours and misinformation; confront without threatening

Resistance (Anger/Bargaining/Depression) Stage

You See:

- Anger/Hostility
- Complaining
- Glorifying Past
- Scepticism
- Accidents
- Lack of concentration

You Hear:

- "It's unfair"
- "It doesn't make sense"
- "I'm leaving"
- Asking for more detail

Strategies:

- Acknowledge and legitimize feelings, don't justify the need for change now
- Clarify case for change
- When old issues resurface, don't choke, or punish them
- Give more information about the change; tell people where they stand
- Establish firm expectations
- Determine knowledge/skill gaps to prepare for the change
- Provide exposure and opportunity to influence participation

Testing Stage

You See:

- Exploring options
- Risk-taking
- Tentativeness
- Impatience
- Activity without Focus

You Hear:

- Enthusiasm
- Optimism
- "I've got an idea"
- "Let's try…"
- "What if…

Strategies:

- Focus on short –term goals and priorities
- Encourage personal stock-taking and goal setting, and exploring options
- Encourage risk-taking
- Encourage new skills to be acquired
- Reinforce desired behaviours
- Celebrate successes and endings
- Provide opportunities for participation and contribution
- Acknowledge efforts and the struggle

Acceptance Stage	
You See: • Acceptance of the change • Future orientation • Initiative • Self-efficacy • Confidence **You Hear:** • “How can I contribute?” • “Let’s get on with it” • “We can do it even better” • “I’m prepared whatever comes up”	**Strategies:** • Provide guidance, support, and recognition • Provide frequent feedback on progress • Establish “performance levers” to sustain new behaviour • Provide leadership: less information, more inspiration • Be careful not to overload or burnout • Enrol as advocate to assist others

Core Values Exercise Template

Circle your top 5 values from the list below. Add any that are missing that are meaningful to you.

Authenticity	Harmony
Balance	Health
Commitment	Honesty
Compassion	Humour
Concern for others	Integrity
Courage	Intelligence
Creativity	Joyfulness
Education	Kindness
Empathy	Knowledge
Excellence	Loyalty
Fairness	Openness
Faith	Perseverance
Family	Personal growth
Freedom	Respect for others
Friendship	Responsibility
Fun	Security
Generosity	Serenity
Genuineness	Service to others
Happiness	Success
____________________	____________________

Looking at your identified core values, can you align one or more to the change? If so, how?

____

____

Adapted from Berkeley University of California, Change Management Toolkit

Best Practices for Leading Change – What to Do & What NOT to Do Template

WHAT TO DO

Provide information, what you know, what you don't, when to expect updates. Employees need all available information to make realistic assessments and effective plans. Share what information you have when you have it: what is changing, what is not, what is known, what is unknown, when to expect updates.

Display a positive attitude. As the leader, you are in a position of great influence. In a sense you are your team's North Star. Even if you are not yet fully onboard with the change, display to your team an attitude that is unbiased and welcoming of feedback.
Stay connected to your team. Focus on team goals, foster support, monitor functioning, and celebrate achievements.
Re-recruit people. Reiterate to each team member their value, and your desire to have them remain on the team and support the change.
Surface issues and concerns. Show empathy; help employees reframe their personal response to the change so they can effectively manage their own personal resistance
Provide more structure. Define short-term objectives, time frames, priorities, and standards to help your team regain its equilibrium
Protect quality. Education standards must remain high.
Delegate. Continue delegating work tasks while remaining mindful of each professional's emotional stage and providing them relevant support.
Empower. As appropriate, give professionals more influence in day-to-day decisions. Determine the appropriate level of authority to assign by considering a professional's current emotional stage, level of experience, capability, and the task itself.
Raise the bar. Provide challenging assignments and coach professionals to grow and develop their skills
Recognition. During change it is especially important to show appreciation and provide **acknowledgement for work well done.**
2-way communication. Be honest about what you can't say or don't know and be opened to hearing feedback.
Inform/update higher management. Provide candid feedback on the change as it relates to the work and its impact on the people. This ensures leadership has the information needed to make informed decisions
Practice the 4 Vs. This is not a change strategy by itself, rather a piece of a larger strategy, or a tool, to use at the very moment the change goes live.

1. **Visibility** – Be visible, available, and interested in your professionals during this time. Brief check-ins will leave professionals feeling supported and valued.
2. **Variability** – Allow for varying personal reactions (see Kubler-Ross grief cycle model, pages 36, 38-39) and give employees more flexibility at work to take care of themselves.
3. **Ventilation** – allow opportunities (both formal and informal) for employees to tell their stories, compare their reactions, and express their feelings. Productivity may decrease initially; however, allowing ventilation can expedite getting back to a focus on work.
4. **Validation** – say thank you and acknowledge employees for their contributions. Special recognitions and verbal encouragements go a long way in challenging times.

WHAT NOT TO DO

Don't censor information or hold back until everything is known. Professionals need all available information to make realistic assessments and effective plans. Share what information you do have, when you have it even if the information you have is not complete.

Don't express cynicism. Professionals look to you as a role model and need your support and constructive guidance.

Don't be unrealistically positive. Don't be Pollyanna… acknowledge when things are difficult.

Don't isolate yourself. Professionals need access to you to feel supported. Use professionals' cues to know when to become more involved and when to back off.

Don't expect professionals to all react the same way at the same time. Professionals respond to the same situation differently (see Kubler-Ross grief cycle model).

Don't enable resistance. Enabling is an action you take that protects the employee from consequences of his/her actions and actually helps the employee to not move through the change process. Examples of enabling include:

- **Covering Up.** Providing alibis, making excuses, or even doing someone's work for them rather than confronting the issue that they are not meeting expectations.
- **Rationalizing.** Developing reasons why the person's behavior is understandable or acceptable.
- **Withdrawing/Avoiding.** Avoiding contact with the person whose behavior is problematic.
- **Blaming.** Blaming yourself for the person's continued challenging behavior or getting angry at the individual for not trying hard enough to improve their behavior or to get help.
- **Controlling.** Taking responsibility for the person by significantly changing their environment or trying to minimize the impact by moving them to a less important job.
- **Threatening.** Saying that you will take action (i.e., formal disciplinary action) if the employee doesn't improve, but not following through.

Adapted from Berkeley University of California, Change Management Toolkit

Tool #9. Feedback Strategy Overview & Options

Target group (who can use it)

Change Leaders and Managers

Short description

For leading and managing change, it is very important to get and provide feedback. Several strategies are herein provided to be chosen at each phase of that process. Change Leaders and managers just have to analyse those provided on the template below and choose the best appliable to the phase of change they are planning or undertaking.

Detailed description of the tool and required material, attachments

When implementing a change, create a feedback strategy for each phase of the change:

- **Pre-implementation** – used to understand existing **concerns**
- **Implementation** – illustrates how the implemented change immediately impacted the identified concerns and helps determine if iteration is necessary

- **Post-implementation** – used to monitor and control the implemented change and fosters continuous improvement

The data collected in each phase allows the Project Team to understand the successes and ongoing opportunities of the roll-out. This information is communicated to the Leadership Team to enable informed decisions. The following graphic illustrates the elements of the feedback strategy.

Feedback Strategy Options

When obtaining feedback there are various self-service or in-person methods to choose from. Use the Feedback Strategy Options Template below to select the strategies that best apply.

Users' guide, equipment

Equipment	Quantity
Feedback Strategy Options Template	At least 1 for each phase of implementation.

Level of difficulty (easy, medium, advanced)

Medium

Tags

Keeping change going and on track and people involved

Feedback Strategy Options Template

Self-Service Feedback Strategies

Description	**Advantages**	**Pre-Implementation**	**Implementation**	**Post-Implementation**
Surveys/User Polls *(Survey Monkey, Qualtrics, etc.)* Used to obtain the overall pulse of the change. It is best to use no more than four surveys during the lifecycle of the project to avoid survey fatigue. *(requires vetting of questions and testing of tool selected prior to use)*	• easy to use • reach large numbers of people anonymous (optional)	1 survey to understand current state	1 pulse survey sent one week after go-live date	Used periodically for continuous improvement
Open Comment Box An open text box that lives on a dedicated project specific web page or a department's intranet. This mechanism is best suited for post-	• live URL available 24/7 • anonymous (optional) may leave open indefinitely for ongoing	n/a	Ongoing throughout implementation period	Ongoing for continuous improvement purposes

implementation where the feedback goes directly to the process owner for continuous improvement. *(may require ongoing monitoring)*	input			
Incentivized Feedback Use work appropriate incentives to increase feedback participation (e.g. raffle, gift cards, event tickets, etc.). *(consider any potential impact the incentive may have on the data being collected)*	• elicits creates excitement that increases individual participation and leads to word of mouth marketing	n/a	n/a	Collect feedback over 2- weeks
1:1 Meetings Utilize 1:1 meetings to learn how the change is being received *(requires safety and trust)*	• comfortable setting • enables vulnerability gathers individual in-depth feedback	Discussion topic at each 1:1 meeting	Discussion topic at each 1:1 meeting	Discussion topic at each 1:1 meeting until change fully realized

In-Person Feedback Strategies

Description	Advantages	Pre-Implementation	Implementation	Post-Implementation
Team Meetings Allows employees to surface feedback on the change in their current team environment. *(requires strong facilitator)*	• creates transparency raises group issues	2-3 meetings to collect/share information	Bi-weekly meetings to collect/share information throughout implementation period	2-3 meetings to collect/share information
Focus Groups (5-12 participants) Allows the Project Team to	• shared experience • participants react together	1-5 sessions	n/a	n/a

solicit specific feedback from key contributors. *(requires strong facilitator and real-time transparency of information captured)*	and build off of each other's comments option to curate audience			
Townhalls Use to summarize findings, celebrate successes, and address opportunities related to the change across all key audiences *(requires strong facilitator and prepared agenda)*	• reach large numbers of people • creates transparency solicits community input	1 – 2 meetings to provide key information	n/a	1 – 2 meetings to provide key information

Adapted from Berkeley University of California, Change Management Toolkit

Tool #10. Success Metrics Overview

Target group (who can use it)

Change leaders and managers

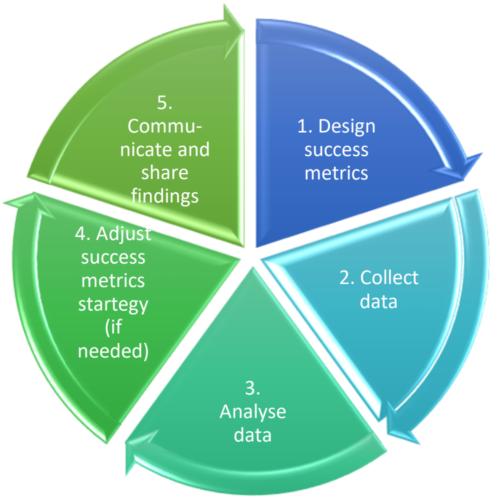
Short description

This tool allows change leaders to take the pulse to the change process. The „Detailed description of the tool and required material, attachments" must be read and the template below filled in to initiate the process of assessing change success.

Detailed description of the tool and required material, attachments

When implementing a change in the workplace, it is imperative to have success metrics. Success metrics can be defined as the metrics that help leadership to assess the overall health and achievement of the change. Success metrics are useful across all levels of the organisation as they evaluate, indicate, and measure performance based on the objectives set forth by the change initiative. From a leadership standpoint, they help leaders understand the initiatives overall impact. Many of these metrics include specifics on how many professionals are affected and how the change has impacted their engagement.

The graphic below shows the cycle of determining and tracking success metrics for the change initiative.



Success Metrics are quantitative data obtained from:

- Change Target Satisfaction
- Financial Performance (e.g., cost, revenue)
- Operational Performance (e.g., rework, lead time, handoffs)
- Service Quality (e.g., quality, defects, volume, frequency)
- Public Outreach (e.g., number of people impacted)
- Supplier Performance (e.g., reliability, durability)

Feedback is qualitative data obtained from:

- 1:1 Meetings
- Team Meetings
- Focus Groups
- Surveys
- Open Comment Box (Live URL available 24/7)
- Incentivised feedback

Success metrics and feedback are used to understand the current landscape of the change effort through all stages of the initiative. Quantitative data can be disseminated via metrics reporting. Qualitative data must be combined and grouped into common themes to bubble up relevant information. For transparency, all impacted employees must be provided the outcome of the metrics and feedback provided to leadership.

Pre-Implementation – gather success metrics

Use the time before implementation occurs to hypothesize possible success metrics tied to the change objectives. These metrics should be defined before Day 1 of the Pilot, Big Bang, or Phased Big Bang kick-off. The STAIRS Country Reports provide useful data for doing this.

Implementation – Pilot, Big Bang, or Phased Big Bang kick-off

The first three months is the learning curve period. During this time, expect many of the metrics to be volatile. Typically, after three months the data will start to normalise, and a true pattern of the strategy's performance will emerge.

Post Implementation – monitor, control success, and promote continuous improvement

By the end of the testing period the change strategy should now be evergreen in your department. To ensure its continued success, monitor and keep all success metrics visible to the users at hand. Update these metrics with a particular cadence (weekly, bi-weekly, etc) and have conversations around achievements or improvement opportunities as they arise throughout the year.

Ongoing monitoring of metrics ensures a feedback loop for continuous improvement. This feedback helps leadership to understand that no one process is forever optimal. By maintaining the conversation of metrics, we can collectively celebrate success while continually exploring improvements together.

Users' guide, equipment

Equipment	Quantity

Success Metrics Template	As many as necessary

Level of difficulty (easy, medium, advanced)

Advanced

Tags

Taking the pulse to the change process

Success Metrics Template

What is changing?	What is the measure?	Success metrics data category	Currently exists as a metrics (Y/N)	Data owner	Frequency
…					

Success Metrics Data Categories

Financial Performance (e.g., cost, revenue)	**Operational Performance (e.g., rework, lead time, handoffs)**	**Service Quality (e.g., quality, defects, volume, frequency)**
Sponsors and beneficiaries' satisfaction	Public Outreach (e.g., number of people impacted)	Supplier Performance (e.g., reliability, durability)

Adapted from Berkeley University of California, Change Management Toolkit

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