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ABSTRACT
        This two-part report outlines advice on functioning
as a leader during periods of change, examining such topics as the
change process, failure of reforms, and issues of self. The first
section begins by stating "Five Principles" for managing change,
including: (1) identify the adaptive challenge; (2) regulate
distress; and (3) direct disciplined attention to the issues. This
section next offers seven tips on "Leadership and Self," such as (1)
distinguish self from role; (2) externalize any conflict; and (3)
find a sanctuary. The next two topics, "Why Reforms Fail" and
"Propositions for Success," are discussed in greater detail, with
seven facets of each topic examined. Reasons for failure of reforms
include: (1) faulty maps of change; (2) symbols over substance; and
(3) impatient and superficial solutions. Success can be achieved by
knowing, among other facts, that problems are our friends; (2) change
is resource-hungry; and (3) all large-scale change is implemented
locally. The first section concludes with "Mapping the Change
Process," which includes suggestions on identifying desirable
outcomes and those that have been achieved, and developing a common
theory of change or action. The second part of the report deals with
"Self-Reflection Strategies," explaining the importance of
self-reflection and introducing four strategies to be used in
monitoring and reflecting on the progress of a change effort,
including reflecting on the expectations of key players, and
reflecting on the dynamics and decision-making processes of the
group. The report's appendix includes an "Interorganizational Linkage
Matrix," implementation checklist, organization dimensions scale, and
"Stages of Development" chart. (EV)

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Leadership and Change:

What Works and What Doesn't

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Five Principles

1. Identify the adaptive challenge

2. Regulate distress

3. Direct disciplined attention to the issues

4. Give the work back to people, but at a rate they can stand

5. Protect voices of leadership without authority

Leadership and Self

1. Get on the balcony

2. Distinguish self from role

3. Externalize any conflict

4. Use partners

5. Listen, use oneself as data

6. Find a sanctuary

7. Preserve a sense of purpose

Why Reforms Fail

1. Faulty maps of change

2. Complex problems

3. Symbols over substance

4. Impatient and superficial solutions

5. Misunderstanding resistance

6. Attrition of pockets of success

7. Misuse of knowledge about the change process

Propositions for Success

1. Change is learning

2. Change is a journey

3. Problems are our friends

4. Change is resource-hungry

5. Change requires power to manage it

6. Change is systemic

7. All large-scale change is implemented locally

Propositions for Change[1]

Why Reform Fails

1. Faulty maps of change
Everyone involved in the reform has a personal map of how change proceeds -- it is hard to get to a destination when these maps do not accurately represent the territory to be traversed or if the maps of colleagues are in conflict.

2. Complex problems
In many cases we do not know how to proceed; solutions have yet to be developed. Even if one considers only seemingly simple policy or procedural changes, the number of components and their interrelationships are staggering. Deeper changes involving organizational culture, relationships, and values and expectations of the system are even more daunting.

3. Symbols over substance
Organizations many times adopt external innovations for opportunistic reasons rather than to solve a particular problem. The mere appearance of innovation is sometimes sufficient for achieving political success.

4. Impatient and superficial solutions
Reforms in structure are especially susceptible to superficiality and unrealistic time lines because they can be launched through political or administrative mandates. Even when the solution is on the right track, hasty implementation leads to failure.

5. Misunderstanding resistance
It is usually unproductive to label an attitude or action "resistance." It diverts attention from real problems of implementation such as diffuse objectives, lack of technical skill, or insufficient resources for change.

6. Attrition of pockets of success
There are many examples of successful reforms in individual programs. We do not have much evidence about the durability of such successes, but we have reason to believe that they may not survive if the conditions under which they developed are changed. It is not enough to achieve isolated pockets of success. Reform fails unless we can demonstrate that pockets of success add up to new structures, procedures, and cultures that press for continuous improvement.

7. Misuse of knowledge about the change process
"Knowledge" of the change process is often cited as the authority for taking certain actions (statements like "vision and leadership are critical" should be thought of as half-truths). Reform is systemic, and actions based on knowledge of the change process must be systemic, too.

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[1] Adapted from an article by Michael G. Fullan and Matthew B. Miles called Getting reform right: What works and what doesn't. *Phi Delta Kappan* (June 1992).

Propositions for Success

1. Change is learning -- loaded with uncertainty
Change is a process of coming to grips with new personal meaning, and so it is a learning process. The absence of early difficulty in a reform effort is usually a sign that mot much is being attempted. Anxiety, difficulties, and uncertainty are intrinsic to all successful complex change.

2. Change is a journey, not a blueprint
Reforms that include restructuring are so multifaceted and complex that solutions for any particular setting cannot be known in advance. There can be no blueprints for change, because rational planning models for complex social change do not work. Rather, what is needed is a guided journey. The message is not the traditional "Plan, then do," but "Do, then plan . . . and do and plan some more."

3. Problems are our friends
Change threatens existing interests and routines, heightens uncertainty, and increases complexity. It seems perverse to say that problems are our friend, but we cannot develop effective responses to complex situations unless we actively see and confront real problems that are difficult to solve. Problems are the route to deeper change and deeper satisfaction. Think in terms of active coping strategies for difficult problems: building personal capacity through training, enhancing system capacity, comprehensive restaffing, or system restructuring/redesign. Enemies of good coping are passivity, denial, avoidance, conventionality, and fear of being "too radical."

4. Change is resource-hungry
Change demands additional resources for training, for new materials, for new procedures, and above all, for time. Change is resource -hungry because of what it represents -- developing solutions to complex problems, learning new skills, arriving at new insights, all carried out in a social setting already overloaded with demands.

5. Change requires the power to manage it
Change initiatives require that substantial effort be devoted to such tasks as monitoring implementation, keeping everyone informed of what is happening, linking multiple change projects, locating unsolved problems, and taking clear coping action. Successful ingredients in the successful management of change include: (a) a cross-role group that has a clear license to steer the change effort; (b) participants learning to take the initiative instead of complaining, to trust colleagues, to live with ambiguity, and to face the fact that shared decisions mean conflict; and (c) state-level agencies need to be closely engaged with the change effort at the local level in a collaborative, supportive way and place few bureaucratic restrictions in the path of reform.

6. Change is systemic
Political pressures combine with the segmented, uncoordinated nature of organizations and agencies concerned with early childhood care and education to produce a "project mentality" There are two aspects to working systematically: (a) reform must focus on the development and interrelationships of all the main components of the system simultaneously, and (b) reform must focus not just on structure, policy, and regulations but on deeper issues of the culture of the system.

7. All large-scale change is implemented locally
Change cannot be accomplished from afar. The first six propositions for success all embody the fact that local implementation by everyday early childhood practitioners, trainers, faculty, and agency staff is the only way that change happens.

Mapping the Change Process

Identifying Desirable Outcomes and Those that have been Achieved

1. Changes in institutional or organizational practices
2. Changes in the level of participation in particular activities or processes
3. Changes in participant attitudes and behaviors
4. Changes in participant knowledge and skills
5. Changes in the overall quality of early childhood education and care

Developing a Common Theory of Change or Action

1. Convening planning groups
2. Developing materials, products, or procedures
3. Developing new structural arrangements among institutions and organizations
4. Direct services

Identifying Common Problems and Coping Strategies

1. Historically poor relations among fragmented organizational units
2. Well-established (some say entrenched) sector- or organization-specific standard operating procedures
3. Lack of a common vision
4. Issues related to collaborative planning, commitment of resources, and modification of existing policies and practices
5. Ongoing reorganization of agencies/organizations or turnover of key staff.
6. Economic recession or reallocation of funds to other priorities.
7. Existence of vocal interest groups or lack or an organized constituency that represents "the field."

Tracking the Change Process as it Spirals Over Time

1. Diagnosis and conceptualization
The stage in which key players emerge, begin to conceptualize the issues and problems, examine their own motives, and become ready for some type of action.

2. Data gathering and planning
The stage that includes systematic efforts at vision building (or building a common map for change), many times involving pilot efforts or concrete tasks that keep key players mobilized.

3. Implementation
Early implementation focuses on how to make the plan "work like it's suppose to," reformulation of plans as necessary, and the garnering of assistance and support to maintain momentum; later implementation includes continued transformation of particular component(s) of the initiative, changes in practices and perceptions of users, transformations of the system, and stabilization of activities.

4. Institutionalization
The stage in which the innovation becomes "built in" to the system and incorporated into the ordinary structures and procedures of involved organizations and groups.

Leadership and Change:

Self-Reflection Strategies

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Background

The Importance of Self-Reflection

My experience as an evaluator of change efforts at the national- state- and local-levels has demonstrated to me the value of key players building in mechanisms for collective self-reflection. This is particularly important when the initiative represents a long-term change effort that is subject to forces outside of the control of key players.

The change process is rarely linear. Many times it feels like for every step forward, key players end up taking two steps back. It is not impossible that carefully proposed plans will be dramatically altered over the years. All too often key players get caught in the details of implementation and lose a sense of overall progress.

For all these reasons it is important to develop strategies that will allow key players to periodically "step to the balcony" to view the initiative as a whole. Implicit in this process is the notion that the group members will discuss what they see and use any conclusions to guide and improve their continued work.

In the following pages, I introduce four strategies which can be used to monitor and reflect on the progress of a change effort. In summary, they include:

1. Reflecting on changes in linkage patterns among agencies and organizations involved in the professional development of early childhood practitioners;

2. Reflecting on the expectations that key players hold and the degree to which they are being met;

3. Reflecting on the dynamics and decision-making processes of the group; and

4. Reflecting on the stages of development of an initiative.

1. Reflecting on Changes in Linkage Patterns

States and communities, once they have established their goals, usually develop plans that change their linkage patterns, or the ways agencies or programs interact with one another. For example, some communities may find it beneficial for agencies involved in short-term professional development activities and higher education institutions to develop increased interactions -- from simple information sharing to joint use of staff and joint programming for early childhood practitioners.

To help interagency groups to monitor changes in agency linkage patterns, an *Interorganizational Linkage Matrix* (Bronheim, Cohen, and Magrab, 1985) may be useful. (See Appendix A.) Initiatives will need to customize the characteristics (A - G) to their particular situation. A useful approach for using this matrix is the three-step process presented below.

Step 1:   Complete the matrix based on what each agency or group perceives to be the ideal agency interactions and linkages for meeting project goals or specific objectives at the state or community level.

Step 2:   Complete the matrix before embarking on an action plan.

Step 3:   Complete the matrix at regular intervals as the action plan is implemented.

Comparing the various results obtained from each of these three steps yields significant insight into the process and progress of the effort.

2. Reflecting on Expectations

Many change efforts involve change "components." The change effort then becomes further complicated by the fact that each change component has a life cycle that includes at a minimum planning, piloting, implementation, and institutionalization.

During the piloting and implementation phases of each component, two key questions must be addressed by the team: (1) Is the plan being implemented according to design? and (2) Are the objectives that team members agreed to being met? One approach to examining why things turn out the way they do is to develop an implementation checklist for each major component (or subcomponent) of the initiative. A broad sample of respondents, with varying perspectives, may be asked the degree to which implementation has been achieved.

A model *Implementation Checklist* appears in Appendix A. The checklist is completed in two steps:

Step 1:   A small group of key players brainstorm and agree on the characteristics of the ideal, acceptable, and unacceptable implementation of each component.

Step 2:   Key players rate their impression of the implementation pattern of each component.

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3. Reflecting on Dynamic Processes in Change Efforts

The dynamic human element is perhaps the most intangible factor in a change process, and is often ignored by the group. However, if a group wishes to maximize its efforts, then examining dynamic processes will likely be an important component of any self-reflection effort.

Typically, a group uses an introspective approach when examining decision-making and communication processes. This type of self-examination can be threatening to a group, therefore it has been found to be a good idea to have a "neutral" person not involved with the day-to-day work of the team conduct this part of the self-reflection. Maintaining the anonymity of individuals' responses increases the validity of such self-examinations.

There are several dimensions of group processes that can be included in a self-reflection exercise:

- Is effective leadership present in the team?
- Are communication and decision-making processes effective?
- How well does the team manage conflict?
- Is the team cohesive?
- Does team interaction provide support for accomplishing group tasks?
- Do external factors influence team functioning?

Answers to these questions may create the nucleus of a self-study that reveals the team's ability to productively work together. The *Organization Dimensions Scale* (see Appendix A) is a particularly useful tool for monitoring the processes occurring in a statewide or local interagency group. Where team subgroups exist, the scale can be used to monitor subgroup processes as well. The dimensions assessed as part of the scale and the polar adjectives and phrases might be adapted to the particular needs of the group.

The *Organization Dimensions Scale* is recommended for administration on a routine basis; this prevents team members from viewing such efforts as a response to a problem or a crisis. The information obtained from these procedures can diagnose problems with group dynamics. As a result, further group action, consultation and/or change may be required. At the same time, it allows groups that are functioning well the opportunity to celebrate their hard work!

4. Reflecting on the Stages of Development

Researchers who study complex change efforts tell us that "change is a journey, not a blueprint." This evolutionary perspective assumes that the environment both inside and outside organizations or programs is often chaotic. No specific plan can last for very long, because it will either become outmoded due to changing external pressures, or because disagreements over priorities arises within the group. This is no reason to assure that the best response is to rely on incremental decisions. Instead, the group should cycle back and forth between efforts to gain consensus about what the initiative may become, to plan strategies for getting there, and to carry out decentralized incremental experimentation that takes advantage of the creativity with all members to the change effort.

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One approach to cycling back and forth between consensus, planning, and experimentation is to have the members of the change effort meet to systematically analyze and describe the status of the initiative. The *Stages of Development* tool at the end of Appendix A offers a fun way to do this work (Insites, 1992). The activity will help group members "get on the balcony" to see the initiative as a whole. It may also allow members to externalize and conflicts and direct attention to the ideas, activities, or concepts that must be preserved or allowed to change for the initiative to move forward.

Provide each group with a copy of the "garden" picture that has been enlarged so that a number of Post-It notes can easily be attached to it. Group members should each have a copy of the general interpretations of the stages of development (seedling, bud, etc.) and a pad of Post-It notes. Once the group has finished discussing all the stages, have members brainstorm what was learned and what this learning means for future work. If there are multiple groups, spend some time debriefing as a large group.

References

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Appendix A

INTERORGANIZATIONAL LINKAGE MATRIX

Using the same Unit numbering system as you used for the Interunit Relationship Scale, complete the matrix. In each box enter letters for all characteristics present for the relationship from the unit named in the row to the unit named in the column (A-G). Circle any that represent significant problems. Then develop a second matrix that represents the ideal picture of your community. You can then complete the matrix at regular intervals.

A = INFORMATION EXCHANGE ONLY (communication, staff contact)
B = RESOURCE EXCHANGE (funds, services, contracts)
C = REFERRAL OF CLIENTS
D = OVERLAPPING STAFF (joint appointments)
E = JOINT ACTIVITIES
F = JOINT PLANNING AND POLICY
G = FORMALIZED AFFILIATION RELATIONS

UNITS

Relations to:

Relations From:	1	2	3	4	5
Unit 1					
Unit 2					
Unit 3					
Unit 4					
Unit 5					

IMPLEMENTATION CHECKLIST

Check the description within each component (or subcomponent) that best describes how the project is currently being implemented.

1. Component/subcomponent:_____

(check one)

___ (Ideal):_____

_____

_____

___(Acceptable):_____

_____

_____

___(Unacceptable):_____

_____

_____

2. Component/subcomponent:_____

(check one)

___ (Ideal):_____

_____

_____

___(Acceptable):_____

_____

_____

___(Unacceptable):_____

_____

_____

(continue sheets as needed)

ORGANIZATION DIMENSIONS SCALE

Please circle the number which most nearly describes how you view the functioning of the community team on the following dimensions. Also, please mark with an X how you viewed the functioning of the community team on each dimension on _____ (date) _____ (select a date that is close to the beginning of your effort or to the last time you completed this scale).

Goals

1. clear   1   2   3   4   5   6   7   confused

2. conflicting among groups   1   2   3   4   5   6   7   shared among groups

3. members indifferent   1   2   3   4   5   6   7   members feel involved

4. supported by organiza-   1   2   3   4   5   6   7   not supported by
    tional procedures   organizational
                                                        procedures

Leadership Style

5. autocratic   1   2   3   4   5   6   7   democratic

6. oriented toward task   1   2   3   4   5   6   7   oriented toward people

7. seeks change   1   2   3   4   5   6   7   maintains status quo

Coordination and Interdisciplinary Function

8. knowledge of other   1   2   3   4   5   6   7   knowledge of other
    professionals and   professionals and
    agencies is low   agencies is high

9. task responsibility   1   2   3   4   5   6   7   task responsibility
    in the hands of one   shared by staff
    or a few

10. tasks are fragmented   1   2   3   4   5   6   7   tasks are well coor-
    among subgroups   dinated among subgroups

11. responsibilities are   1   2   3   4   5   6   7   responsibilities are
    overlapping among   sharply differentiated
    professional disciplines   among professional
                                                        disciplines

Decision Making and Procedures

12. communication proce-   1   2   3   4   5   6   7   communication proce-
    dures are confused or   dures are clearly
    unknown   understood

13.	decisions are made by part of team; others' ideas and opinions are not heard	1 2 3 4 5 6 7	decisions are made by consensus; deviant information is used to improve decisions

13. decisions are made by   1 2 3 4 5 6 7   decisions are made by
    part of team; others'   consensus; deviant
    ideas and opinions   information is used to
    are not heard   improve decisions

14. problems are not   1 2 3 4 5 6 7   problems are accurately
    diagnosed well   diagnosed

15. procedures to manage   1 2 3 4 5 6 7   conflict management
    conflict are clear and   procedures are unknown
    understood   or confused

16. differences are denied,   1 2 3 4 5 6 7   differences are recog-
    suppressed or avoided   recognized, confronted,
                                                               and worked through

17. the team is closed;   1 2 3 4 5 6 7   the team is open; new
    new members are   members are oriented
    ignored by the team   quickly into group
                                                               activities

18. the team handles most   1 2 3 4 5 6 7   the team is flexible
    tasks by routine   and seeks new and better
    procedures   ways to work

Cohesiveness and Trust

19. team members rarely   1 2 3 4 5 6 7   team members always
    work closely   work closely together

20. I feel very much a   1 2 3 4 5 6 7   I feel outside the
    part of the team   group; not really a part
                                                               of the team

21. consumers are well   1 2 3 4 5 6 7   consumers remain outside
    integrated into the   the team effort
    team

22. interactions among   1 2 3 4 5 6 7   interactions among the
    the team are open   team are careful and
                                                               guarded

23. feelings are not freely   1 2 3 4 5 6 7   feelings are freely
    expressed as part of   expressed and receive
    team interaction   empathic responses

Outcomes

24. team interaction often   1 2 3 4 5 6 7   team interaction
    hampers task achievement   usually helps task
                                                               achievement

25. group meetings usually   1 2 3 4 5 6 7   group meetings usually
    accomplish what is   do not accomplish
    necessary   what is necessary

26. all team member   1 2 3 4 5 6 7   many team member
    resources are used   resources and skills
    effectively by the   are not used by the
    group   group

External Conditions

27. regulatory require-   1 2 3 4 5 6 7   reimbursement require-
    ments have limited   ments place severe
    impact on the work   constraints on the way
                                                     work is done

.Adapted from Cohen, Perry D. Evaluation of Interdisciplinary Team Training
    and Humanistic Patient Care Training in Hospices: Case Study-
    Demonstration Site #1. Perry Cohen Associates, September 1981.

STAGES OF DEVELOPMENT

The attached "garden" picture is to be used as a way for you to analyze and describe the status of your initiative. Please use the following general interpretations of the stages of development of your initiative. Place Post-It notes with the ideas, activities, concepts of your initiative that are at various stages of development. Once your group is done, brainstorm what you have learned and what this learning means for future work.

Seedling
Ideas, activities, concepts related to your initiative that have just recently been planted and are starting to take root.

Bud
Ideas, activities, programs, etc. that have made it through the early seedling stage and didn't die out. They may still need considerable nurturing (e.g., staff development, extra technical support, special funding) but it looks like they are on the way to full development. They have weathered early challenges and storms.

Early Bloom
Ideas, activities, programs that need less constant attention and seem to be able to face tougher challenges from the environment without extensive support.

Full Bloom
Ideas, activities, programs that are well established. It is the norm in the community or state.

Withering Plant
Ideas, activities, programs that were good in their day but now they are dying out (perhaps becoming compost that will nurture the new growths).

Weeds
Countervailing ideas, concepts, activities, etc. that are likely to choke out new directions that the initiative might take.
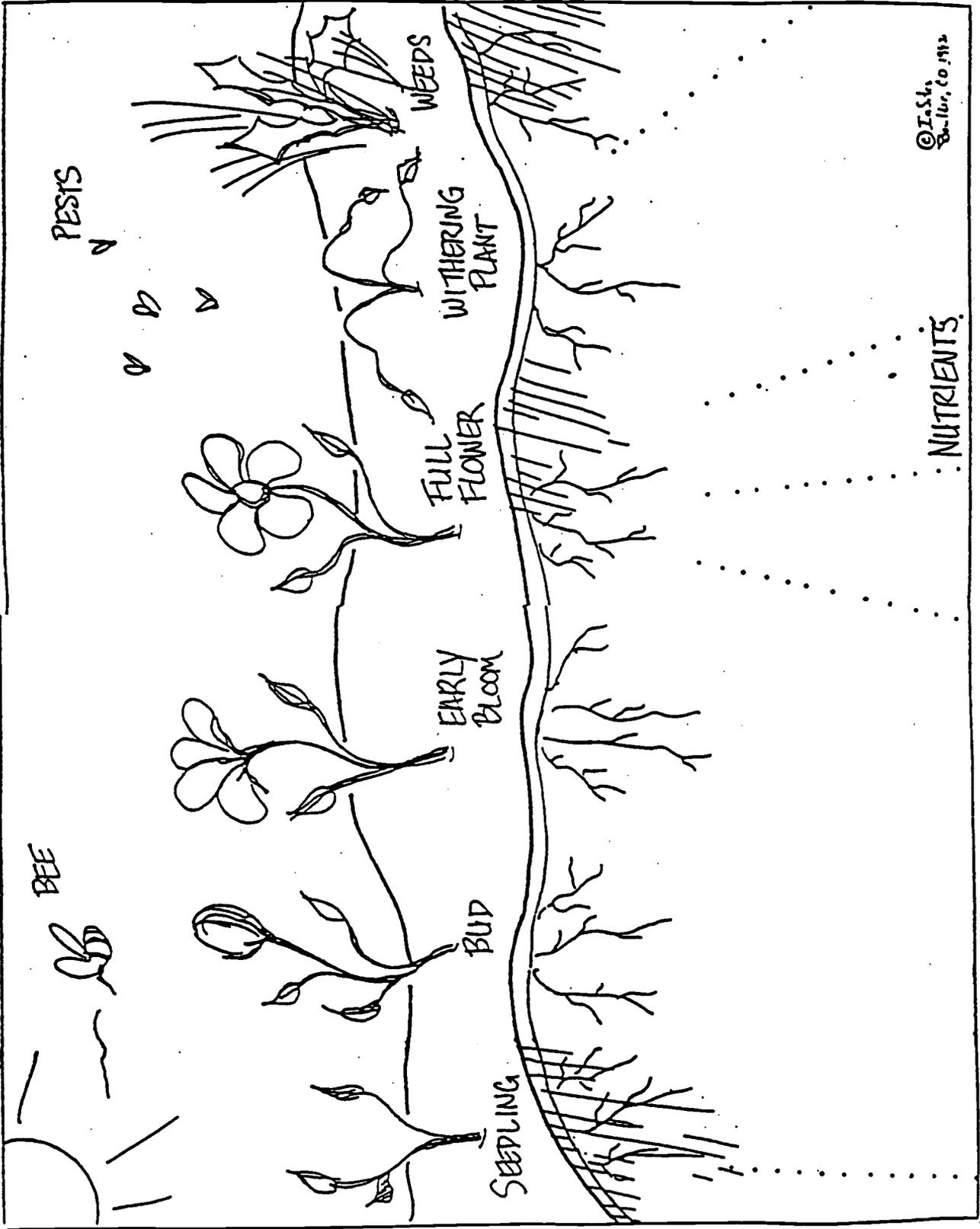
Bee
Things that are pollinating the new growths of your initiative/project.

Pests
Things that are interfering.

Roots
If there is time, use for each of the plants to indicate beliefs and assumptions that nurture the various plants.

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