i3 Scale Up and Sustainability Community Toolkit

Introduction

The i3 Scale Up and Sustainability Community supports and shares learnings from grantees in navigating the process of scaling up and sustaining impactful work. Supports are available to grantees via resources, webinars, convenings, and one-on-one support.

This toolkit provides supports focused on the following four objectives:

- **Diagnostic Needs Assessment:** Identify focus areas to increase the likelihood of scaling up and sustainability
- **Plan Architecture:** Establish the architecture for a scale up and sustainability plan
- **Plan Details:** Build a scale up and sustainability plan
- **Progress Monitoring Routines:** Establish routines to monitor progress on goals and strategies

This toolkit defines each of these objectives in detail and provides tools, examples, exercises, and downloadable templates to support the work of i3 grantees (** indicates a tool that is available for download in an editable format on the i3 Community website: https://i3community.ed.gov/*).

All tools have been adapted for the i3 Community, primarily drawing from resources of *delivery* -- additional free tools and resources can be found here: https://www.deliveryinstitute.org/tools-resources.

An overview of the toolkit is included below.

Diagnostic Needs Assessment (pg. 3-9)

Use the ***i3 Sustainability Rubric Diagnostic*** to self-assess areas of strength and areas for improvement in the sustainability of the i3 project. The tool consists of 13 elements divided into 3 broad categories.

Tools:

- ***i3 Sustainability Rubric*:*** Use to self-assess areas of strength and improvement in the sustainability of the i3 project. The tool focuses on three broad categories: grantee capacity, results and performance management, and stakeholder support.
- ***i3 Sustainability Ratings Tool*:*** Use in coordination with the i3 Sustainability Rubric to record ratings and rationale from the self-assessment.
- ***i3 Sustainability Summary Reflections Template*:*** Once the ratings are complete, use this template to reflect on the overall strengths and areas of focus to increase the likelihood of scaling up or sustaining effective practices.

Plan Architecture (pg. 10-12)

Informed by the i3 Sustainability Rubric Diagnostic, identify the goals for scale up and sustainability, the measures of success, and the major strategies to achieve these goals. Prioritize strategies that will have the most impact on the goals.

Tools:

- ***Scale Up and Sustainability Plan Profile Template*:*** This profile template helps outline the details of priority goals and strategies to achieve i3 grantee goals.

Plan Details (pg. 13-17)

Create a scale up and sustainability plan that puts the project on a path to sustainability at current sites as well as to scale up the model. The plan will include key components of implementation, including definitions of success, 3-7 major strategies, strategy leads, scale/impact, milestones, feedback loops, and key stakeholders to engage.

Tools:

- ***Strategy Profile Template*:*** A profile template to outline the details for each strategy identified to help achieve i3 grantee goals.
- ***Identifying Metrics & Feedback Loops Template**** : A template to identify which measure(s) will indicate you are on track toward your goals and the mechanisms you will use to capture this data/information.

Progress Monitoring Routines (pg. 18-29)

The grantee can use these examples and tools to effectively implement performance management routines for their scale up and sustainability plans. In particular, grantees will understand and apply best practices for setting up effective routines and how to design routines that reach a shared view of implementation progress, celebrate and learn from success, and problem solve areas that are off track.

Tools:

- ***Routines Rubric*:*** This rubric helps you assess how well your meetings are performing in four categories: regularity, strong execution, focus on performance and action on performance. Rate the strength of your routine for each category on a scale of Red (weak) to Green (strong): Red, Amber Red, Amber Green, or Green.
- ***Preparation Steps for a Routine*:*** This tool outlines the steps to preparing for and conducting a routine, and explains how each of the tools below can be used to conduct your most successful routine yet!
- ***Assessment Framework*:*** Use to evaluate progress of goals and strategies for scaling and sustaining.
- ***Assessment Framework Ratings Tool*:*** Use in coordination with the Assessment Framework to record ratings on the progress of strategies.
- ***Identifying Objectives Template*:*** A tool to help you identify and outline the objectives you want to accomplish in your routines.
- ***Routine Agenda & Materials (Sample PowerPoint slides)*:*** Sample PowerPoint slides you can modify to run your routine.
- ***Routine Agenda Template*:*** Use this template to establish an agenda for your routine.
- ***Schedule of Routines Template*:*** Use this tool to calendar your routines in a way that functions best for your team and allows for appropriate amount of time to prepare for the meetings.

Technical Assistance (TA) Liaison Support

Throughout the toolkit, there will be examples of how TA liaisons can support your scaling up and sustainability efforts. TA liaison is used broadly to describe support from i3 TA. Whether the support comes from your individual TA liaison or the i3 Scale Up and Sustainability Community will depend on the request and the expertise of your individual TA liaison.

Diagnostic Needs Assessment

Tools:

- ***i3 Sustainability Rubric*:*** Use to self-assess areas of strength and improvement in the sustainability of the i3 project. The tool focuses on three broad categories: grantee capacity, results and performance management, and stakeholder support.
- ***i3 Sustainability Ratings Tool*:*** Use in coordination with the i3 Sustainability Rubric to record ratings and rationale from the self-assessment.
- ***i3 Sustainability Summary Reflections Template*:*** Once the ratings are complete, use this template to reflect on the overall strengths and areas of focus to increase the likelihood of scaling up or sustaining effective practices.

How to Use:

1) Complete the Diagnostic Assessment
   - Use the ***i3 Sustainability Rubric**** and ***i3 Sustainability Ratings Tool**** to assess progress in the sustainability and scaling up of your project. You may choose to complete these tools *individually or as a team.* You may also ask key stakeholders or sites outside of the core project team to be involved.
   - Rate your project based on the rubric and provide a rationale for your ratings.

2) We recommend working with your TA liaison to review and receive additional support on assessing your group ratings and rationale (see more details on this support under **TA Liaison Support**).

3) Use the ***i3 Sustainability Summary Reflection Template**** to capture reflections and assess your strengths and areas for improvement during the conversation with your TA liaison.

4) Reach out to your TA or community for continued support as you move forward with your work

TA Liaison Support:

Review ratings and rationale with your TA liaison – during this conversation, your TA liaison will help you identify two key areas:

- Areas of improvement for sustaining and scaling up your work

- Additional support they can provide to help you in sustaining and scaling up

If you completed the ***i3 Sustainability Ratings Tool**** *individually*, there will likely be a spread in ratings. Your TA liaison will review the ratings you each assigned individually and facilitate a discussion to help you come to a shared view of the progress.

Based on the length of your grant, it may be beneficial to have routine meetings to continue taking stock of your progress every few months (see progress monitoring routines section).

i3 Sustainability Rubric*

A tool to help i3 grantees assess their readiness to sustain and scale.

Purpose

The i3 sustainability rubric is designed to help i3 grantees asses their readiness to sustain and scale innovations. It is part of a suite of technical assistance focused on project implementation, sustainability, and dissemination funded by the U.S. Department of Education.

The rubric is designed to be used with i3 grantee teams, sites, and other key stakeholders to reflect on implementation practices during the grant period in ordre to identify implementation focus areas and next steps to achieve grantee sustainability and scaling up goals. The term “grantee” in the rubric refers to the organization or innovation to be sustained. The i3 sustainability rubric is rooted in effective practices of implementation and draws from sources such as *Deliverology* and the Reform Support Network.

The rubric is organized into three categories with thirteen elements (see chart below). The rubric asks users to rate each element based on a four-point scale from 1 to 4. The rubric includes descriptions of Weak (1) and Strong (4), as well as example look-fors to help grantees in the self-assessment process.

Rubric Overview

Grantee Capacity	Results and Performance Management	Stakeholder Support
1. Align organizational structure with goals 2. Build an organizational culture of professional learning 3. Extend capacity in the field 4. Extend capacity through partnerships	5. Set outcome targets to achieve goals 6. Develop plan(s) that align strategies with goals 7. Establish clear leadership of goals 8. Ensure quality data on implementation and performance is available and used to review progress and make mid-course corrections 9. Link internal and external accountability to results 10. Disseminate results to all stakeholders	11. Identify implementation sites aligned with goals 12. Strengthen stakeholder support and build a coalition 13. Build broad public support

* Document available for download in editable form on the i3 Community website: https://i3community.ed.gov/

*(Note: This is just one page of the full rubric. **Click here** for the full downloadable document.)*

Grantee Capacity

Elements & Questions to Consider	Weak (1)	Strong (4)	Look-Fors
1. Align organizational structure with goals ■ Does the organizational structure facilitate the implementation and achievement of goals? ■ Does the grantee encourage collaboration across the organization, ensuring a focus on the goals rather than funding streams or individual programs? ■ Do all staff members understand how their work supports the goals? ■ Does the grantee understand what resources it will need to sustain over time?	■ The majority of the grantee's organizational structure is historic; the design is not deliberately aligned with goals. ■ Grantee staff members generally work within their areas and rarely communicate with other units or share information. ■ Individual staff and team goals are not aligned to grantee goals. ■ Recruiting has little or nothing to do with implementing and achieving the grantee's goals. ■ The grantee does not hold staff accountable for achieving goals. ■ The grantee has not identified what resources will be required to sustain or scale.	■ The grantee's organizational structure is anchored in its goals; while there is strong shared ownership, clear roles and lines of responsibility exist for implementation. ■ The grantee has cohesive cross-unit teams, where necessary, that maintain focus on implementing goals. ■ All staff members demonstrate a thorough understanding of how their individual work contributes to the goals. ■ The grantee actively recruits top talent from inside and outside the education field to ensure they have the skills and expertise necessary to implement. ■ The grantee holds staff accountable for outcomes and rewards top talent for exemplary work that contributes to the goals. ■ There is a clear set of options identified or being pursued for resources to sustain and/or scale.	■ The grantee has dedicated staff working on implementing goals. ■ A team gathers regularly to focus on goals; these teams write shared values aligned to goals and use them for making decisions. ■ Robust formal and informal mechanisms exist to gather feedback and collaborate with partners in advisory and decision-making capacities. ■ Staff can articulate how their work contributes to goals. ■ Staff raise issues to leadership for quick resolution. ■ Decisions to recruit, retain, promote and dismiss staff are grounded in the goals. ■ Staff know what is expected of them and take initiative to move the work forward (for example, staff can appropriately manage up and are not overly dependent on managers for direction). ■ Financial model is in place to inform and address sustainability and scaling up.

i3 Sustainability Ratings Tool*

*(Note: This is just one page of the full tool. **Click here** for the full downloadable editable document.)*

	Elements:	Rating	Rationale
Grantee Capacity	**1. Align organizational structure with goals**		
	2. Build an organizational culture of professional learning		
	3. Extend capacity in the field		
	4. Extend capacity through partnerships		

** Document available for download in editable form on the i3 Community website: https://i3community.ed.gov/*

Example: i3 Sustainability Ratings Tool

The i3 grantee team used the Sustainability Rubric to reflect on the areas of strength and challenge to focus their planning and implementation efforts toward their goals for scale up and sustainability.

The following results are from that self-assessment, which six people on the team completed. While the ratings are important and should give a sense of relative strengths and challenge, the main value in the process is in the subsequent conversations and reaching a shared view of where to focus in order to increase the likelihood of delivering on the scale up and sustainability goals.

Note: Ratings and rationale do not necessarily appear to match in all cases. This is a good representation of what can happen with multiple people providing ratings.

CATEGORY	ELEMENTS	RATING	RATIONALE
GRANTEE CAPACITY	**Align organizational structure with goals**	3	*Dedicated Staff working on project goals and practice. Staff knows what is expected and takes initiative.* *The existing project goals are not in direct alignment with organizational goals. There are some overlaps, but the organization is moving in a direction away from teacher development into leadership development.*
	Build an organizational culture of professional learning	4	*The team is continuously evaluating and reevaluating project activities to ensure alignment with project goals.* *Staff members assess through protocols daily.* *Definitely a culture of improvement. Lots of informal feedback and adjustments to strategies.*
	Extend capacity in the field	4	*All implementation sites have access to high-quality support.* *Good relationship with partners, more interest.*
	Extend capacity through partnerships	3	*School partnerships could be strengthened by stronger working relationships with school leadership.* *There are partnerships in place with districts as well as businesses, but will need to continually cultivate.* *Some success in this area but we could continue efforts.*

i3 Sustainability Summary Reflections Template*

(Click here for downloadable editable document)

Please identify the relative areas of strength and challenge from ***i3 Sustainability Rubric***. For example, you may decide that "identify implementation sites aligned with goals (under Stakeholder Support) is an area of particular strength. List it below, along with 2-3 bullets of rationale.

Note that the areas you identify can be categories, elements, or a combination of elements.

2-3 Main Areas of Strength (compared to the rest)

AREA OF STRENGTH	BRIEF RATIONALE (2-3 BULLETS)
	•
	•
	•

2-3 Main Areas for Improvement (compared to the rest)

AREA OF STRENGTH	BRIEF RATIONALE (2-3 BULLETS)
	•
	•
	•

Example: i3 Sustainability Summary Reflections Template

Please identify the relative areas of strength and challenge from ***i3 Sustainability Rubric***. For example, you may decide that "identify implementation sites aligned with project goals (under Stakeholder Support) is an area of particular strength. List it below, along with 2-3 bullets of rationale.

Note that the areas you identify can be categories, elements, or a combination of elements.

2-3 Main Areas of Strength (compared to the rest)

AREA OF STRENGTH	BRIEF RATIONALE (2-3 BULLETS)
Project Goals	• *We established clear implementation plans that connect to our goals* • *We have clear and realistic targets in place to measure progress*
Grantee Capacity	• *We have a strong culture of feedback that allows the team to strive for continuous improvement*

2-3 Main Areas for Improvement (compared to the rest)

AREA OF STRENGTH	BRIEF RATIONALE (2-3 BULLETS)
Leadership	• *There is a disconnect within the team on the view of leadership in the project* • *The connection between leadership and project goals needs to be clearer*
Stakeholder Engagement	• *While there are plans in place to grow support from our stakeholders, this remains a focus of ours in order to scale-up and sustain the project* • *We need to improve our grassroots efforts in the field*

Plan Architecture

Tools:

- [***Scale Up and Sustainability Plan Profile Template****:*]() This profile template helps outline the details of priority goals and strategies to achieve i3 grantee goals.

How to Use:

1) You may choose to complete the ***Plan Profile Template**** as a team or you may choose a single member of the team to complete this individually. It is important that the plan is aligned with your project goals and is agreed upon by your leadership team.

2) Conduct an initial call with your TA liaison to review project goals and receive thought partnership on your plan profile.

TA Liaison Support:

Perhaps the most essential role your TA liaison plays in support of your scaling and sustainability efforts is serving as a thought partner in the development and implementation of your plan. When completing the ***Plan Profile Template**** your TA liaison can serve in this role whether you complete the profile as a team, or if an individual completes it.

- If the profile has been *completed as a team*, run through the plan with your TA liaison and receive thought partnership on areas that could be stronger in the implementation of your plan.

- If the profile has been *completed by a single member* of the team, your TA liaison can conduct a call for the whole team to review, and the TA liaison will serve same role as above.

Your TA liaison can also help in providing support on specific strategies in your plan. For example, if part of your plan is to gain a better understanding of the effectiveness of your work in the field and how people are responding to it, your TA liaison could design a survey and help you analyze the results.

** Document available for download in editable form on the i3 Community website: https://i3community.ed.gov/*

Scale Up and Sustainability Plan Profile Template*

*(**[Click here](#)** for downloadable editable document)*

What would success look like in three years?			
How would you know or measure that you had been successful?			

What are 3-5 critical moves/strategies to achieve these goals?					
What would success look like in one year for each strategy?					
For each strategy, what are 3-5 major milestones in the next year?					

** Document available for download in editable form on the i3 Community website: https://i3community.ed.gov/*

Example: Scale Up and Sustainability Plan Profile Template

What would success look like in three years?	*Scale the model to additional districts in the city*	*Establish the project within academia and research*
How would you know or measure that you had been successful?	• *We have contracts with 30 elementary schools across at least 3 districts*	• *We have completed a comprehensive literature review* • *We have partnered with two researchers with whom we are collaborating and publishing*

What are 3-5 critical moves/strategies to achieve that goal?	***Disseminate evaluation results*** *Owner: Tom*	***Identify partnerships for research*** *Owner: Rebecca*	***Build our brand*** *Owner: Kathy*
What would success look like in one year for each strategy?	*Evaluation results are significant and have been packaged for dissemination*	*Have reached out to academic institutions and secured two partners for research and publication*	*Created strong marketing materials for the project and have a marketing plan in place*
For each strategy, what are 3-5 major milestones in the next year?	*Work with evaluator to adjust project based on findings* *Communicate proof points with current partners broadly to other sites and partners* *Collaborate across project teams to develop a dissemination plan*	*Identify institutions currently doing relevant research* *Canvass the type of research available to support our project* *Develop strong partnerships with two researchers and/or institutions*	*Develop different materials to market the project to schools* *Collaborated across project teams to develop a marketing plan* *Establish a budget and secure additional funding if needed*

Plan Details

Tools:

- ***Strategy Profile Template****: A profile template to outline the details for each strategy identified to help achieve i3 grantee goals.
- ***Identifying Metrics & Feedback Loops Template****: A template to identify which measure(s) will indicate you are on track toward your goals and the mechanisms you will use to capture this data/information.

How to Use:

1) Use the ***Strategy Profile Template**** to identify the details of your strategies and the steps necessary in order to successfully implement them for scaling up and sustainability.

2) Use the ***Identifying Metrics & Feedback Loops Template**** to identify which measures you will use to see if you are on track with the plan and the mechanisms you will use to capture this data/information.

3) Complete and/or review with your TA liaison, as helpful.

TA Liaison Support:

Your TA liaison can provide thought partnership for you in developing your strategy profiles and identifying metrics and feedback loops. You may choose to discuss your profiles with your TA liaison as a group or have individual strategy leads set up meetings with the TA liaison to receive support.

** Document available for download in editable form on the i3 Community website: https://i3community.ed.gov/*

Strategy Profile Template*

(Click here for downloadable editable document)

Note: This template is used to help outline the details of strategies needed to achieve i3 grantee goals. There are many categories included in this template; however, you may find some more useful than others. Utilize what works best for you and your team.

Name of Strategy	
Description: Describe the strategy in a sentence or two.	
Goal(s): On which goal (or goals) will the strategy have a significant impact?	
Rationale: Why do we believe it will have an impact?	
Scale: At what scale (number of students, educators, schools, districts, states, etc.) will it be implemented?	
Resources Required: What people, time, money, and technology will be needed to implement it?	
Definition of Success: What would success look like for this specific strategy, and by when?	
milestones: What are the most important milestones between now and then?	
Leadership: Who is the single person responsible for making sure implementation happens?	
Delivery Chain: Who will that person work through to reach the field at scale? What are the risks, and how will we manage them? What feedback loops can we set up to track progress?	
Impact: What is the estimated impact of this strategy on the goal over time?	

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Example: Strategy Profile Template

NAME OF STRATEGY	*Identify partnerships for research*
DESCRIPTION: Describe the strategy in a sentence or two	*Our team will reach out to many academic institutions for opportunities to partner around research of our project.*
GOAL(S): On which goal (or goals) will the strategy have a significant impact?	*Increasing 3rd grade literacy in Plano Independent School District.*
RATIONALE: Why do we believe it will have an impact?	*By using outside institutions to research our program, we will be recognized within academia and have new lens to view our project through to inform our sustainability and scale.*
SCALE: At what scale (number of students, educators, etc.) will it be implemented?	*30 elementary schools across 3 districts and outreach to 15 additional districts.*
RESOURCES REQUIRED: What people, time, money, and technology will be needed to implement it?	*Time of team members to conduct outreach.*
DEFINITION OF SUCCESS: What would success look like for this specific strategy, and by when?	*If we have reached out to academic institutions and secured two partners for research and publication, we will understand where our project fits amongst similar initiatives and be recognized within academia by June 2017.*
MILESTONES: What are the most important milestones between now and then?	• *Identify institutions currently doing relevant research* • *Canvass the type of research out there to support our project* • *Develop strong partnerships with two researchers and/or institutions*
LEADERSHIP: Who is the single person responsible for making sure implementation happens?	*Rebecca*
DELIVERY CHAIN: Who will that person work through to reach the field at scale? What are the risks, and how will we manage them? What feedback loops can we set up to track progress?	*Deans and professors at colleges and universities. Main risk is getting their interest and attention. We can mitigate it through regular informal and formal interactions-leveraging personal relationships and other partners.*
IMPACT: What is the estimated impact of this strategy on the goal over time?	*Recognition as a research-based effective intervention*

Identifying Metrics & Feedback Loops Template*

(Click here for downloadable editable document)

Note: There are many categories included in this template, however you may find some more useful than others. Utilize what works best for you and your team.

STRATEGY:

STAKEHOLDER:

	WHAT QUESTIONS WOULD YOU WANT TO ANSWER?	METRICS FOR ANSWERING THOSE QUESTIONS	DATA COLLECTION MECHANISMS
INPUTS			
REACTION			
LEARNING			
SUPPORT			
FIDELITY OF IMPLEMENTATION			
OUTCOMES			

** Document available for download in editable form on the i3 Community website: https://i3community.ed.gov/*

Example: Identifying Metrics & Feedback Loops Template

STRATEGY: Train teachers in the arts integration model

STAKEHOLDER: Teachers

	WHAT QUESTIONS WOULD YOU WANT TO ANSWER?	METRICS FOR ANSWERING THOSE QUESTIONS	DATA COLLECTION MECHANISMS
INPUTS	Did teachers receive PD? How many teachers in the district received PD?	Percentage of teachers in the district that received PD	Attendance lists
REACTION	Did teachers find PD useful?	Percentage of those who received PD who indicated that it was useful	Post-session survey
LEARNING	Did teachers who participated learn what they were supposed to learn from the PD?	Percentage of those who received PD who were able to correctly answer content questions afterwards	Post-session survey
SUPPORT	Are teachers receiving the support they need form their principals following up from the PD?	Percentage of teachers indicating they receive the support they need 6 months after the PD	Teacher focus groups 6 months after PD
FIDELITY OF IMPLEMENTATION	Are teachers implementing what they learned from the PD in their classrooms?	Percentage of teachers implementing the practices learned in the PD 6 months after the PD	Classroom observations 6 months after PD
OUTCOMES	Are student outcomes changing?	Percentage of students meeting benchmarks on quarterly assessments in classrooms of those who received PD compared to those who didn't	District quarterly assessment results

Progress Monitoring Routines

Tools:

- ***Routines Rubric*:*** This rubric helps you assess how well your meetings are performing in four categories: regularity, strong execution, focus on performance and action on performance. Rate the strength of your routine for each category on a scale of Red (weak) to Green (strong): Red, Amber Red, Amber Green, or Green.
- ***Preparation Steps for a Routine*:*** This tool outlines the steps to preparing for and conducting a routine, and explains how each of the tools below can be used to conduct your most successful routine yet!
- ***Assessment Framework*:*** Use to evaluate progress of goals and strategies for scaling and sustaining.
- ***Assessment Framework Ratings Tool*:*** Use in coordination with the Assessment Framework to record ratings on the progress of strategies.
- ***Identifying Objectives Template*:*** A tool to help you identify and outline the objectives you want to accomplish in your routines.
- ***Routine Agenda & Materials (Sample PowerPoint slides)*:*** Sample PowerPoint slides you can modify to run your routine.
- ***Routine Agenda Template*:*** Use this template to establish an agenda for your routine.
- ***Schedule of Routines Template*:*** Use this tool to calendar your routines in a way that functions best for your team and allows for appropriate amount of time to prepare for the meetings.

How to Use:

1) Set up routines to monitor the progress of scaling and sustaining your project. A few tools provide guidance on the importance of routines and best practices in setting up routines for the first time. These tools are listed below:
    - ***Preparation Steps for Routine****
    - ***Routine Agenda & Materials (Sample PowerPoint slides)****
    - ***Routine Agenda (Sample)****
    - ***Schedule of Routines Template****

2) Review the ***Preparation Steps for Routine**** and other materials before using the ***Schedule of Routines Template**** to schedule your routines. If you need clarification on the routines process, reach out ot your TA liaisons for assistance.

3) For your first routine, we recommend working with your TA to conduct the routine, as well as review and receive additional support on assessing your group ratings and rationale. (See more details on what this support looks like under **TA Liaison Support**.)

4) Reach out to your TA liaison or community for continued support as you move forward with your work.
    - Based on the length of your grant, it may be beneficial to have routine meetings to continue taking stock of your project in order to monitor progress
    - Reach out to your TA liaison or community for continued support as you move forward with your work

TA Liaison Support:

Talk to your TA liaison about setting up your routines, especially if this is something your organization has had difficulties with in the past. As in other sections of this toolkit, your TA liaison can provide *thought partnership* in determining the best way to set up your routines and who should be in the room for each depending on strategy and other objectives you wish to discuss.

Use your TA liaison to help run your routines. You may choose to set up a webinar and have your TA liaison present to ask the “tough questions” and provide thought partnership in determining areas of improvement and next steps. Alternatively, your TA liaison could help you determine objectives for your routines and assist in the development of your first agenda.

Routines Rubric*

*(**Click here** for downloadable editable document)*

Category	Weak performance (Red)	Strong performance (Green)	Rating / Rationale
Regularity			
■ Does the routine happen regularly enough to drive performance? ■ Are the right people present? Including: – the “leader” holding the actors accountable, – the “actors” driving the work and reporting on progress, and – the “broker” facilitating the discussion	■ Takes place sporadically and is often cancelled or rescheduled ■ So frequent that changes in performance are not observable, or so infrequent that performance “drifts” in between ■ Key players are rarely present	■ Provides a stable rhythm for the work; participants plan around the schedule of routines ■ Discussions are timely (not too early/ too late) ■ Key players – including the leader – attend ■ Relevant actors are informed enough to account for performance and commit to necessary actions	
Strong execution			
■ Do participants buy in to the purpose of the routine and come prepared for a productive discussion? ■ Are roles and responsibilities clear? ■ Are the supporting materials high-quality? ■ Is the meeting well facilitated? ■ Are clear next steps defined?	■ Participants are confused about the routine’s purpose/objectives or do not believe in them ■ Important participants are not sufficiently prepared to contribute ■ Participants are unclear about their roles ■ Supporting materials are confusing, too detailed or missing important information ■ Starts late; runs out of time; departs from the agenda ■ Next steps are not identified	■ All participants can articulate the routine’s objectives and want to play their role in achieving them ■ Key participants are well-prepared (briefed in advance by the broker if necessary) ■ Agenda and supporting materials are clear, concise, relevant and prepared in advance ■ Runs to time; changes to agenda are deliberate ■ Leader/broker ensure that objectives are met and clear next steps are identified	

Category	Weak performance (Red)	Strong performance (Green)	Rating / Rationale
Focus on performance			
■ Is the area of focus for the routine clear – do we know what we are assessing progress on? ■ Does the routine allow participants to quickly form a *shared view of performance* and progress, based on strong, well-synthesized evidence? ■ Do the agenda and specific objectives of the routine allow for a focus on the most important issues impacting performance?	■ Routine is merely a check-in during which participants give updates ■ Evidence is sporadic and/or inconsistent; discussion is mostly based on anecdotes and/or opinions; data are disputed or not recognized by participants ■ Data are presented in raw format with little or no attempt to discern patterns or implications ■ All items get equal weight, with no attempt to make meaningful comparisons or focus on key issues	■ Performance on specific goals, strategies or entities is selected as the focus of the discussion ■ A wide range of evidence is presented in a way that is clear, sharp and consistent, including outcome data, leading indicator data, and evidence on quality of implementation ■ Data are synthesized to identify key patterns and comparisons ■ Debate is vigorous but an overall picture of performance emerges quickly; the majority of discussion is focused on the biggest areas of challenge	
Action on performance			
■ Does the routine help participants to identify and agree on the most critical barriers to progress? ■ Are the tough questions asked? ■ Does the routine result in creative problem-solving that empowers participants to address the challenges and holds them accountable for doing so? ■ Does the routine encourage participants to continuously learn and improve?	■ Problems may be identified but are too vague to be actionable; their root causes are poorly understood, if at all ■ Data are discussed to no practical end; discussion tends to dwell on problems, with little attempt to seek solutions; key issues are left unresolved ■ Actions and next steps are superficial, with no real expectation that they will "move the needle" ■ There is no follow-up on actions between routines ■ Participants are reluctant to engage in open dialogue about their own/colleagues' performance; challenging conversations are either avoided or couched as a "gotcha" ■ Wider learning points are not identified	■ Discussion allows participants to identify specific barriers to success, with a focus on root causes that are actionable ■ Leader/broker asks the tough questions and presses for answers until adequate, realistic solutions have been identified ■ Between routines there is a shared expectation that actions will be followed-up ■ Participants are open to supporting, challenging and learning from each other ■ Cross-project comparisons create a spirit of friendly competition and professional learning across teams ■ Learning points are captured and shared	

Preparation Steps for a Routine*

(Click here for downloadable editable document)

Step 1: Gather evidence and arrive at an initial view of progress (3-4 weeks prior)

- The broker will work with each goal and strategy leader to assess progress using the ***Assessment Framework****: a set of common criteria for measuring the progress of a goal or strategy using a combination of quantitative and qualitative evidence. The ***Assessment Framework**** helps answer one question: what is the **likelihood of success**? That is, what is the likelihood that each goal will be achieved or that each strategy will make its promised contribution to the goal?
- The broker may, at their discretion, work with goal and strategy leaders individually or collectively to arrive at their initial judgments; in group settings, they will calibrate judgments between leaders to improve the accuracy of ratings.
- At the end of this process, the broker will finalize the ratings, using both their own third-party view and their knowledge of progress across the rest of the organization to calibrate. The result will be a "league table" of comparative progress on strategies and/or goals recorded in the ***Assessment Framework Tool****. An example is shown in the figure below.

The overall picture of implementation is strong, with a few areas where attention is needed to get things on track

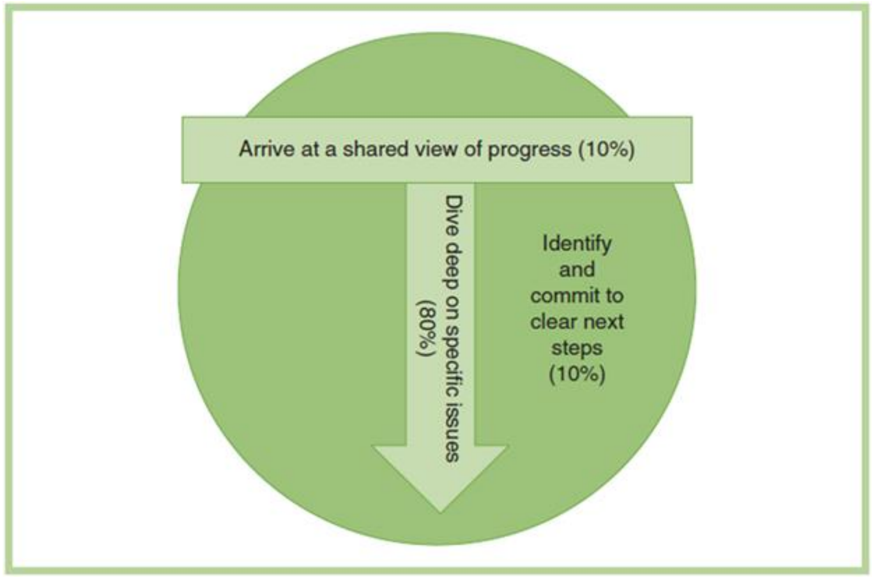
Assessment Framework Implementation Ratings

Strategy	Ratings: Quality of planning	Ratings: Capacity	Ratings: Evidence of progress	Overall likelihood of success	Summary rationale
Teacher Equity	Green	Amber Red	Amber Green	Amber Green	We have a strong plan and saw successes at opening of school this year. We have a long way to go to our goal, but are where we expected to be. Our own capacity and that of our lowest performing schools to attract and retain top talent is a concern, but not one that is a surprise. We are not there yet.
Personalized Learning	Amber Green	Amber Red	Amber Red	Amber Red	Our plan lays out the approach we are taking, but recent data suggests we have not addressed some foundation parts to the work. Capacity and evidence of impact are anecdotal and mixed at this point. We are not as far along as we expected to be. But we are working on a plan to address the challenges.
Social-Emotional Student Needs	Green	Amber Green	Amber Green	Amber Red	A strong plan is in place that is driving the work. Staff have the capacity and we have seen evidence that we are reaching the right students. But, we have not quite seen the translation to outcome measures for a lot of students. We have taken actions to address, but need to wait till the assessments to see if positive leading indicator data translate to academic results.
School Leadership Teams	Amber Red	Amber Green	Amber Red	Amber Green	Schools have had school leadership teams for a long time. Our plan follows this general approach, but we will be revising in the next month, with a plan due to the superintendent. We have capacity to do this work, but since it is early we don't have much evidence. This is a smaller shift in practice, we are confident in the likelihood of success.
Overall likelihood of achieving our goals	Green	Amber Red	Amber Green	Amber Red	Our plans for this work are strong and established. We generally need to build the capacity of district office and school teams to do this substantive work- it has been a bit more involved than expected. Evidence is mixed, but we are confident it will come along. Overall, we are not where we would like to be and need to make a push in the next six months to get some things back on track.

 7

Step 2: Develop objectives for the stocktake (1-2 weeks prior)

- A performance management routine must be more than just a mechanical look at data or evidence. One thing that makes a performance routine truly different is when the evidence has been mined for insight ahead of time, so that the most important issues and decisions are teed up for the routine in advance.
- The broker facilitates this process, taking the ***Assessment Framework Tool**** and evidence developed in Step 1 and translating them into a customized T-shaped agenda for the routine with the goal and strategy plan leads.



The agenda should follow this basic format:

- Affirm the current shared view of progress across the relevant goals or strategies (10%)
- Dive deep on specific issues, questions, or challenge raised by the evidence (to be determined by the evidence, 80%)
- Identify and commit to clear next steps (10%)

Step 3: Develop supporting materials for the routine (1 week prior). In order to support these objectives, the broker will prepare the necessary materials for the routine. These can be in a one-page agenda format or a powerpoint deck (see two examples included). The key ingredients of materials for a strong routine include:

- The agenda;
- Key facts and key data analyses to support each item; and
- Key questions that need to be answered for each item.

Use the ***Identifying Objectives Template**** to map out details for these key ingredients.

Step 4: Brief the relevant leaders (within 1 week prior). With materials in hand, the broker will brief the relevant leaders in the days leading up to the routine:

- With the relevant goal and strategy leaders, the briefing will likely be an iterative conversation during steps 2, 3, and 4
- With the CEO/project lead, the broker will prepare them with the key facts and the key questions that they should ask

Step 5: Conduct the stocktake (day of). The broker will facilitate the meeting, which lasts 60-90 minutes depending on the agenda and materials developed. The broker also captures next steps during this time.

Step 6: Conduct follow-ups (1 week after). The broker will work with goal and strategy leaders to ensure that next steps are followed, and will incorporate progress against these into assessments during the next stocktake.

Step 7 (optional): Report to the board or key stakeholders (1 week after). Finally, the broker will work with the CEO/project lead to translate the judgments and materials from the stocktake into a report for the board or key stakeholders.

Assessment Framework*

(Click here for downloadable document)

Key	
Red	Area of major challenge or necessary intense focus, requires significant attention due to difficulties or stage of implementation
Amber/Red	Area of challenge or necessary focus, requires substantial attention to address difficulties or ensure continued progress on implementation
Amber/Green	Approaching area of strength, needs some attention to strengthen or maintain implementation progress
Green	Relative area of strength, immediate attention not needed; maintain progress and build on successes

Assessing Goal and Strategy Impact

Element		Key Questions	Assessing	
			Weak	Strong
I.	Quality of planning	■ Have we identified a key person and team responsible for leading the strategy and ensuring success? ■ Does our project have a plan that sets out clear milestones for implementation and measures of progress, with an estimate of how (and how much) the project will have an impact on the overall goal?	■ We have no clear accountability for this project ■ We have no plan, or we have a plan that falls short in several ways: – No milestones or measures – Plan does not reflect current reality of work – No connection made to the goal	■ We have a clear plan that makes a plausible case for how this strategy will have an impact on the goal ■ Plan's milestones and measures provide a clear basis for monitoring and accountability ■ Plan has a leader and team that uses it to drive its ongoing work and monitor progress
II.	Capacity to drive progress	■ Have we specified the roles that everyone will need to play – at the state, school, and classroom levels – in order for the project to have real impact on the goal? ■ How well are we engaging with these people to build capacity? How willing and able are they to play their roles right now?	■ We do not have a clear sense of who will need to do what in order for the project to be successful ■ We do not have a clear sense of what it will take to reach the field at scale ■ Our engagement with the field is sporadic and based on the hope that we will somehow reach a critical mass of people	■ We have identified the specific individuals at every level critical to project success and the role each will have to play to implement the project at scale ■ Most of these critical individuals are aligned with the work and have sufficient capacity
III.	Evidence of progress	■ What evidence do we have that shows whether the project is working as intended to have an impact on the goal? ■ What do the latest data say about our progress on this project (e.g. leading indicators or process metrics)? ■ What do the latest data say about our progress on the annual target and goal itself?	■ We do not consistently monitor progress on this project ■ We do not use evidence of progress, or our evidence is limited to the data on the goal ■ To the extent we have any kind of evidence, the data are stagnant or moving in the wrong direction	■ We collect and review relevant evidence as soon as it is available, ranging from outcome metrics to leading indicators and process measures ■ Feedback loops result in mid-course corrections ■ Process and leading indicator data are improving

* *Document available for download in editable form on the i3 Community website: https://i3community.ed.gov/*

Assessment Framework Ratings Tool*

(Click here for downloadable editable tool)

Strategy	Ratings: Quality of planning	Ratings: Capacity	Ratings: Evidence of progress	Overall likelihood of success	Summary rationale
Overall likelihood of achieving our goals					

* *Document available for download in editable form on the i3 Community website: https://i3community.ed.gov/*

Example: Assessment Framework Ratings Tool

Sample of ratings from a district.

Strategy	Ratings: Quality of planning	Ratings: Capacity	Ratings: Evidence of progress	Overall likelihood of success	Summary rationale
Teacher Equity	Green	Amber Red	Amber Green	Amber Green	We have a strong plan and saw successes at opening of school this year. We have a long way to go to our goal, but are where we expected to be. Our own capacity and that of our lowest performing schools to attract and retain top talent is a concern, but not one that is a surprise. We are not there yet.
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Social-Emotional Student Needs	Green	Amber Green	Amber Green	Amber Red	A strong plan is in place that is driving the work. Staff have the capacity and we have seen evidence that we are reaching the right students. But, we have not quite seen the translation to outcome measures for a lot of students. We have taken actions to address, but need to wait till the assessments to see if positive leading indicator data translate to academic results.
School Leadership Teams	Amber Red	Amber Green	Amber Red	Amber Green	Schools have had school leadership teams for a long time. Our plan follows this general approach, but we will be revising in the next month, with a plan due to the superintendent. We have capacity to do this work, but since it is early we don't have much evidence. This is a smaller shift in practice, we are confident in the likelihood of success.
Overall likelihood of achieving our goals	Green	Amber Red	Amber Green	Amber Red	Our plans for this work are strong and established. We generally need to build the capacity of district office and school teams to do this substantive work- it has been a bit more involved than expected. Evidence is mixed, but we are confident it will come along. Overall, we are not where we would like to be and need to make a push in the next six months to get some things back on track.

Identifying Objectives Template*

(Click here for downloadable editable document)

Objectives: Participants in the routine will…	Key Facts: What you know, including qualitative and quantitative evidence	Key Questions/Recommendations: What you don't know or what you recommend

** Document available for download in editable form on the i3 Community website: https://i3community.ed.gov/*

Example: Identifying Objectives Template

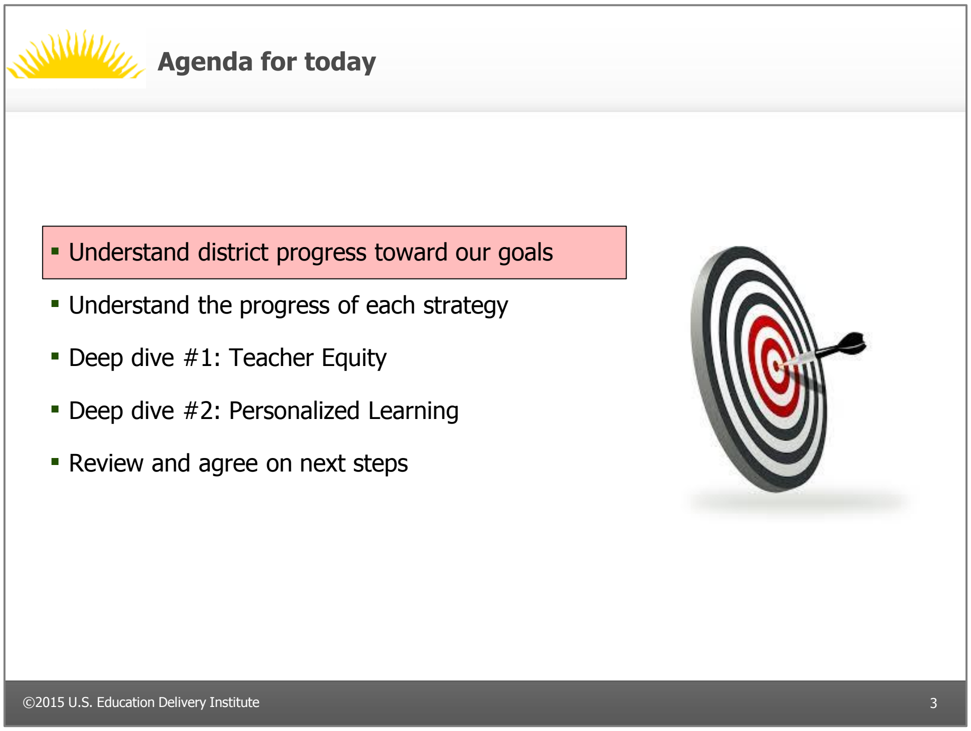
OBJECTIVES: PARTICIPANTS IN THE ROUTINE WILL…	KEY FACTS: WHAT YOU KNOW, INCLUDING QUALITATIVE AND QUANTITATIVE EVIDENCE	KEY QUESTIONS/RECOMMENDATIONS: WHAT YOU DON'T KNOW OR WHAT YOU RECOMMEND

• *Understand the challenge posted by low teacher support for the new evaluation system*
• *Identify specific ways to boost teacher confidence in the new teacher evaluation system*
	• *We have staked our success on this strategy*
	• *It is at risk of failing because fewer than 20% of teachers have confidence in it*
		• *Why do teachers have such little faith in the system?*
		  ○ *Execution has been fairly strong, but communication has been weak*
		  ○ *There is a natural skepticism toward change that we must overcome*
		• *We need to bring the union into the solution*

Routine Agenda and Materials (Sample PowerPoint slides)*

(Click here for downloadable editable document)

Agenda from the Full Sample of Routine Slides



* Document available for download in editable form on the i3 Community website: https://i3community.ed.gov/

Routine Agenda Template*

*(**Click here** for downloadable editable document)*

Plan Progress Monitoring Routine

[Date]

Project or Strategy Focus Name (Leader)

Objectives (60 minutes)

- Welcome and review objectives (5 minutes)
- Understand current implementation progress, by reviewing ratings (10 minutes)
- Objective #1 (15 minutes)
    - Key data and facts
    - Key questions and recommendations
- Objective #2 (15 minutes)
    - Key data and facts
    - Key questions and recommendations
- Objective #3, if needed (10 minutes)
    - Key data and facts
    - Key questions and recommendations
- Review next steps (5 minutes)

** Document available for download in editable form on the i3 Community website: https://i3community.ed.gov/*

Schedule of Routines Template*

(Click here for downloadable editable document)

Area of Focus	Jan.	Feb.	Mar.	Apr.	May	June	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Area 1 ______________												
Area 2 ______________												
Area 3 ______________												
Area 4 ______________												
Area 5 ______________												
Area 6 ______________												

KEY:

△ = In person meeting (Stocktake)

○ = Memo (Note)

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Example: Schedule of Routines Template

Area of Focus	Jan.	Feb.	Mar.	Apr.	May	June	Jul.	Aug.	Sept.	Oct.	Nov.	Dec.
Area 1 Disseminate evaluation results	○		△			○		△				
Area 2 Identify partnerships for research		○		△					○		△	
Area 3 Build our brand			○		△					○		△
Area 4 ____________												
Area 5 ____________												

KEY:

△ = In person meeting (Stocktake)

○ = Memo (Note)