2014

Examining the Words and Actions Superintendents Used to Lead an Educational System Through a Culture Shift Following the Occurrence of a Scandalous Critical Incident

Dale Ross Fisher
Loyola University Chicago

Recommended Citation
http://ecommons.luc.edu/luc_diss/1082

This Dissertation is brought to you for free and open access by the Theses and Dissertations at Loyola eCommons. It has been accepted for inclusion in Dissertations by an authorized administrator of Loyola eCommons. For more information, please contact ecommons@luc.edu.

This work is licensed under a Creative Commons Attribution-Noncommercial-No Derivative Works 3.0 License.
Copyright © 2014 Dale Ross Fisher
EXAMINING THE WORDS AND ACTIONS SUPERINTENDENTS USED TO LEAD AN EDUCATIONAL SYSTEM THROUGH A CULTURE SHIFT FOLLOWING THE OCCURRENCE OF A SCANDALOUS CRITICAL INCIDENT

A DISSERTATION SUBMITTED TO THE FACULTY OF THE GRADUATE SCHOOL OF EDUCATION IN CANDIDACY FOR THE DEGREE OF DOCTOR OF EDUCATION

PROGRAM IN ADMINISTRATION AND SUPERVISION

BY DALE R. FISHER

CHICAGO, ILLINOIS

DECEMBER 2014
ACKNOWLEDGEMENTS

To those who have influenced me to make the world a better place for our stewards of tomorrow, I am forever grateful.

With heartfelt appreciation to the notable members of my dissertation committee: My chair, Dr. Janis Fine, through your professional warmth, compassion, and support, I was able to evolve as a leader. You are a model for what instructional leadership should be and an exemplar for what professors should strive to become. Dr. Israel, you possess the uncanny ability to push me beyond my comfort zone, while at the same time being able to ensure that I am intellectually safe to engage in professional discourse. You elicit the best out of your students by insisting that they become better tomorrow then they were today. Dr. Schilling, I can never fully articulate the effect that you have had on the leader that I am today. Before we met, I was a good manager. After our time together, I was an instructional leader. You opened up countless opportunities for me.

To my beloved wife Melissa, thank you for being the unshakeable foundation upon which my life has come to rest. Throughout this process, your four simple words, “what do you need,” served as a constant reminder that you were there with me throughout this journey, just as you have been with me on our passage through life. I could never ask for any more from you; I know you always have given your all.
I am the person I am today as a direct result of the love and support that my parents, Dan and Diana Fisher, have provided me. However, I am now convinced my parents were in emotional distress as they watched their socially awkward, abnormally large, and nearly blind child navigate the world, but they never let it get them down. They continued to seize opportunities to teach me the virtues of integrity, advocacy, and responsibility; the same characteristics that define my leadership today. Most importantly, they ensured that I understood that nothing in life would ever come easy. Debra Ginsberg once said that “the human heart was not designed to beat outside the human body and yet, each child represented just that - a parent's heart bared to the world, beating forever outside its chest.”

To my siblings, Dan, Dean, and Devin, to everyone around us, we grow old, but never to each other. We will forever know each other as we have always been. We never let go of the inside jokes. We remember arguments and secrets. We recount tragedy and joy. We know what is in each other’s soul. We are forever linked to how we have shaped each other, and I am absolutely proud of how you helped to shape me into the person I am today.

Some people are born leaders. They manage to gain respect from friends and peers because of the way they naturally conduct themselves. To my friend Dan Gusel, I have spent years learning and applying the concept of leadership. Always knowing that the ideal example for how I want to guide, advocate, and lead has stood beside me since the age of twelve, and I have been replicating your behaviors ever since. With little doubt, you possess a natural and effortless skillset to lead; the exact skillset I have been toiling to master for nearly two decades.
I have learned nearly everything I know about friendship from Adam Chmielewski. You taught me loyalty, staying connected, never walking away, being accessible, by no means taking your friends for granted, and accepting that friends are the family you can choose; all examples of what I try to teach the students under my charge. You are better than the friend who will check the calendar to determine his availability to help; you won’t even bother to check the calendar.

Kathy Chmielewski, you are the person who has always been able to see the truth and pain even when everyone else had been fooled. I began to live my life based on the following words that you once shared with me; “be the model in life that you want for your children and students.” The completion of this study is one more step in that direction. I owe you a debt of gratitude.

There came a point in my life when I realized who really mattered, who never did, and who always will. To those who don the blackest of jackets; Jason Walenga, Kathi Espinoza, Dan Olson, Sheryl Gusel, Dave Espinoza, Sharon Walenga, Mark Beausoleil, Mike Marnell, and Karen Marnell. Your camaraderie is what makes the toils of life worthwhile. You’ll never know how much your questions, encouragement and supportive words meant to me during this process.

Thank you to my professional education family. Specifically, to the Deerfield Public Schools for supporting this endeavor and valuing the growth and development of their leaders; I am forever indebted.
For my children, Luke and Calissa
If a superintendent is not a steward of the system’s culture, then the culture will ultimately manage the superintendent.

—Edgar Schein
# TABLE OF CONTENTS

ACKNOWLEDGEMENTS ........................................................................................................... iii

LIST OF TABLES ................................................................................................................... xx

LIST OF FIGURES ................................................................................................................ xxii

ABSTRACT .......................................................................................................................... xxiii

CHAPTER

I. INTRODUCTION ............................................................................................................. 1
   Purpose of the Study ........................................................................................................ 1
   Background to the Study ............................................................................................... 1
   Significance of the Study ............................................................................................... 3
   Proposed Research Questions ....................................................................................... 4
   Proposed Methodology ................................................................................................ 4
   Limitations of the Study ............................................................................................... 6
   Biases of the Researcher .............................................................................................. 7
   Proposed Chapters ....................................................................................................... 8
   Key Terms .................................................................................................................... 8

II. REVIEW OF THE LITERATURE ................................................................................... 11
   Organizational Culture .................................................................................................. 11
   A Historical Review of the Scandalous Critical Incident ........................................... 19
      Hazing as a Scandalous Critical Incident ................................................................. 20
      Deception as a Scandalous Critical Incident ........................................................... 23
      Sexual Transgressions as a Scandalous Critical Incident ......................................... 26
   The Role of the Superintendent on Organizational Culture ........................................ 28
   Organizational Change Lens ......................................................................................... 35
      Lewin’s Process for Change ....................................................................................... 35
      Kotter’s Eight Steps for Creating Successful Change .............................................. 37
         Establishing a sense of urgency ............................................................................. 37
         Creating the guiding coalition .............................................................................. 38
         Developing a vision and strategy .......................................................................... 39
         Communicating the change vision ........................................................................ 40
         Empowering broad-based action ......................................................................... 42
         Generating short-term wins ................................................................................... 43
         Consolidating gains and producing more change ............................................... 44
         Anchoring new approaches in the culture ............................................................. 45
   Leadership Lens ............................................................................................................ 45
      Leadership Strategies .............................................................................................. 45
      Four Frames of Leadership ...................................................................................... 46
         Structural frame of leadership ............................................................................. 46
Human resource frame of leadership ........................................... 47
Political frame of leadership ................................................ 48
Symbolic frame of leadership ................................................ 49
Sources of Authority ............................................................. 50
Bureaucratic source of authority ............................................ 51
Psychological source of authority ......................................... 53
Technical-rational source of authority .................................. 55
Professional source of authority .......................................... 57
Moral source of authority ................................................... 59

III. RESEARCH METHODOLOGY .............................................................................. 64
Introduction .................................................................................. 64
Justification for Qualitative Research Design .......................... 64
Ethnography .............................................................................. 66
Grounded Theory ................................................................. 67
Hermeneutics ..................................................................... 67
Empirical Phenomenology ..................................................... 67
Research Design ................................................................. 68
Population and Sample ......................................................... 70
Instrumentation ...................................................................... 72
Role of the Researcher ........................................................ 73
Data Collection ....................................................................... 73
Data Analysis .......................................................................... 75
Ethical Protection of Participants ........................................ 77
Limitations .............................................................................. 77
Summary .................................................................................. 78

IV. PRESENTATION OF DATA ANALYSIS .................................................................. 79
Introduction ............................................................................. 79
Research Questions .................................................................. 79
Description of the Educational Systems Being Studied ........ 81
Buchanan School District ...................................................... 81
  Buchanan School District students ....................................... 82
  Buchanan School District staff ......................................... 83
  Buchanan School District finances .................................. 83
  Buchanan School District scandalous critical incident ...... 84
Polk School District .............................................................. 84
  Polk School District students ........................................... 85
  Polk School District staff ............................................... 86
  Polk School District finances ....................................... 87
  Polk School District scandalous critical incident .......... 88
Administrator Demographics for the Semi-Structured Interview .... 88
Superintendent Interview Responses ................................ 89
  Superintendent Interview Question 1 .............................. 89
    Charles Loomis, Buchanan School District, Superintendent .......... 89
    Mike Thompson, Polk School District, Superintendent .......... 90
Dan Devitt, Polk School District, Building Level Administrator .......................................................... 117
Cliff Epstein, Polk School District, Building Level Administrator .......................................................... 118
Lori Callahan, Polk School District, Building Level Administrator .......................................................... 120
Pete Mitchell, Polk School District, District Level Administrator ............................................................ 121
Brian Greene, Polk School District, Building Level Administrator .......................................................... 122
Participant Interview Question 3 ............................................................................................................. 122
Will Arnett, Buchanan School District, District Level Administrator ......................................................... 122
Shirley Long, Buchanan School District, District Level Administrator ....................................................... 123
Scott Everham, Buchanan School District, School Resource Officer ....................................................... 123
Dan Devitt, Polk School District, Building Level Administrator ............................................................ 123
Cliff Epstein, Polk School District, Building Level Administrator .......................................................... 124
Lori Callahan, Polk School District, Building Level Administrator .......................................................... 125
Pete Mitchell, Polk School District, District Level Administrator ............................................................ 127
Brian Greene, Polk School District, Building Level Administrator .......................................................... 127
Participant Interview Question 4 ............................................................................................................. 128
Will Arnett, Buchanan School District, District Level Administrator ......................................................... 128
Shirley Long, Buchanan School District, District Level Administrator ....................................................... 129
Scott Everham, Buchanan School District, School Resource Officer ....................................................... 130
Dan Devitt, Polk School District, Building Level Administrator ............................................................ 131
Cliff Epstein, Polk School District, Building Level Administrator .......................................................... 132
Lori Callahan, Polk School District, Building Level Administrator .......................................................... 133
Pete Mitchell, Polk School District, District Level Administrator ............................................................ 133
Brian Greene, Polk School District, Building Level Administrator .......................................................... 133
Participant Interview Question 5 ............................................................................................................. 134
Will Arnett, Buchanan School District, District Level
Shirley Long, Buchanan School District, District Level Administrator ........................................ 134
Scott Everham, Buchanan School District, School Resource Officer ........................................ 136
Dan Devitt, Polk School District, Building Level Administrator .............................................. 136
Cliff Epstein, Polk School District, Building Level Administrator .............................................. 137
Lori Callahan, Polk School District, Building Level Administrator .............................................. 139
Pete Mitchell, Polk School District, District Level Administrator ............................................... 140
Dan Devitt, Polk School District, Building Level Administrator .............................................. 141
Cliff Epstein, Polk School District, Building Level Administrator .............................................. 142
Lori Callahan, Polk School District, Building Level Administrator .............................................. 143
Pete Mitchell, Polk School District, District Level Administrator ............................................... 144
Brian Greene, Polk School District, Building Level Administrator .............................................. 145
Participant Interview Question 6 ................................................................................................. 146
Will Arnett, Buchanan School District, District Level Administrator ........................................... 146
Shirley Long, Buchanan School District, District Level Administrator ........................................ 148
Scott Everham, Buchanan School District, School Resource Officer ........................................ 148
Dan Devitt, Polk School District, Building Level Administrator ............................................... 148
Cliff Epstein, Polk School District, Building Level Administrator .............................................. 149
Lori Callahan, Polk School District, Building Level Administrator .............................................. 150
Pete Mitchell, Polk School District, District Level Administrator ............................................... 151
Brian Greene, Polk School District, Building Level Administrator .............................................. 152
Participant Interview Question 7 ................................................................................................. 152
Will Arnett, Buchanan School District, District Level Administrator ........................................... 152
Shirley Long, Buchanan School District, District Level Administrator ........................................ 154
Scott Everham, Buchanan School District, School Resource Officer ........................................ 154
Dan Devitt, Polk School District, Building Level Administrator ............................................... 154
Cliff Epstein, Polk School District, Building Level Administrator .............................................. 155
Lori Callahan, Polk School District, Building Level Administrator .............................................. 156
Pete Mitchell, Polk School District, District Level Administrator ............................................... 157
Administrator ........................................................................................................ 149
Brian Greene, Polk School District, Building Level
Administrator ......................................................................................................... 149

Participant Interview Question 8 ........................................................................ 149
Will Arnett, Buchanan School District, District Level
Administrator ........................................................................................................ 150
Shirley Long, Buchanan School District, District Level
Administrator ........................................................................................................ 150
Scott Everham, Buchanan School District, School
Resource Officer .................................................................................................... 150
Dan Devitt, Polk School District, Building Level
Administrator ........................................................................................................ 151
Cliff Epstein, Polk School District, Building Level
Administrator ........................................................................................................ 151
Lori Callahan, Polk School District, Building Level
Administrator ........................................................................................................ 152
Pete Mitchell, Polk School District, District Level
Administrator ........................................................................................................ 153
Brian Greene, Polk School District, Building Level
Administrator ........................................................................................................ 153

Participant Interview Question 9 ........................................................................ 154
Will Arnett, Buchanan School District, District Level
Administrator ........................................................................................................ 154
Shirley Long, Buchanan School District, District Level
Administrator ........................................................................................................ 154
Scott Everham, Buchanan School District, School
Resource Officer .................................................................................................... 155
Dan Devitt, Polk School District, Building Level
Administrator ........................................................................................................ 155
Cliff Epstein, Polk School District, Building Level
Administrator ........................................................................................................ 156
Lori Callahan, Polk School District, Building Level
Administrator ........................................................................................................ 156
Pete Mitchell, Polk School District, District Level
Administrator ........................................................................................................ 156

Data Collection Summary from the Semi-Structured Interview............................ 157

Kotter’s Eight Steps for Change and the Bureaucratic Source of Authority .......... 157
Step 1: Establishing a sense of urgency and the bureaucratic
source of authority .................................................................................................. 157
Step 2: Creating the guiding coalition and the bureaucratic
source of authority .................................................................................................. 158
Step 3: Developing a vision and strategy and the bureaucratic
source of authority .................................................................................................. 160
Step 4: Communicating the change vision and the
bureaucratic source of authority ............................................................................ 161
Step 5: Empowering employees for broad-based action and the bureaucratic source of authority.......................... 163
Step 6: Generating short-term wins and the bureaucratic source of authority .................................................. 163
Step 7: Consolidating gains and producing more change and the bureaucratic source of authority .................. 164
Step 8: Anchoring new approaches in the culture and the bureaucratic source of authority .......................... 165

Word Frequency – Bureaucratic Source of Authority .......................................................... 166
Superintendent Actions – Bureaucratic Source of Authority .......................................................... 167
  Superintendent actions – Step 1 – Bureaucratic source of authority .................................................. 167
  Superintendent actions – Step 2 – Bureaucratic source of authority .................................................. 169
  Superintendent actions – Step 3 – Bureaucratic source of authority .................................................. 170
  Superintendent actions – Step 4 – Bureaucratic source of authority .................................................. 172
  Superintendent actions – Step 5 – Bureaucratic source of authority .................................................. 173
  Superintendent actions – Step 6 – Bureaucratic source of authority .................................................. 173
  Superintendent actions – Step 7 – Bureaucratic source of authority .................................................. 173
  Superintendent actions – Step 8 – Bureaucratic source of authority .................................................. 174

Kotter’s Eight Steps for Change and the Psychological Source of Authority ................................................. 174
  Step 1: Establishing a sense of urgency and the psychological source of authority .................................. 174
  Step 2: Creating the guiding coalition and the psychological source of authority .................................. 175
  Step 3: Developing a vision and strategy and the psychological source of authority ............................ 176
  Step 4: Communicating the change vision and the psychological source of authority .......................... 177
  Step 5: Empowering employees for broad-based action and the psychological source of authority .......... 179
  Step 6: Generating short-term wins and the psychological source of authority .................................... 181
  Step 7: Consolidating gains and producing more change and the psychological source of authority ........ 182
  Step 8: Anchoring new approaches in the culture and the psychological source of authority .................. 183

Word Frequency – Psychological Source of Authority .......................................................... 185
Superintendent Actions – Psychological Source of Authority .......................................................... 186
Superintendent actions – Step 1 – Psychological source of authority .............................................................. 186
Superintendent actions – Step 2 – Psychological source of authority .............................................................. 187
Superintendent actions – Step 3 – Psychological source of authority .............................................................. 188
Superintendent actions – Step 4 – Psychological source of authority .............................................................. 190
Superintendent actions – Step 5 – Psychological source of authority .............................................................. 192
Superintendent actions – Step 6 – Psychological source of authority .............................................................. 193
Superintendent actions – Step 7 – Psychological source of authority .............................................................. 194
Superintendent actions – Step 8 – Psychological source of authority .............................................................. 195

Kotter’s Eight Steps for Change and the Technical-Rational Source of Authority.................................................................................. 195

Step 1: Establishing a sense of urgency and the technical-rational source of authority ........................................... 196
Step 2: Creating the guiding coalition and the technical-rational source of authority ................................................. 197
Step 3: Developing a vision and strategy and the technical-rational source of authority ............................................ 198
Step 4: Communicating the change vision and the technical-rational source of authority .......................................... 199
Step 5: Empowering employees for broad-based action and the technical-rational source of authority ...................... 201
Step 6: Generating short-term wins and the technical-rational source of authority ...................................................... 202
Step 7: Consolidating gains and producing more change and the technical-rational source of authority ............... 203
Step 8: Anchoring new approaches in the culture and the technical-rational source of authority .............................. 204

Word Frequency – Technical-Rational Source of Authority...................................................................................... 205
Superintendent Actions – Technical-Rational Source of Authority ................................................................. 206

Superintendent actions – Step 1 – Technical-rational source of authority ............................................................... 206
Superintendent actions – Step 2 – Technical-rational source of authority ............................................................... 207
Superintendent actions – Step 3 – Technical-rational source of authority ............................................................... 207
Superintendent actions – Step 4 – Technical-rational source of authority ............................................................... 209
Superintendent actions – Step 5 – Technical-rational source of authority ............................................................... 210
Step 3: Developing a vision and strategy and the moral source of authority ........................................ 232
Step 4: Communicating the change vision and the moral source of authority ........................................ 234
Step 5: Empowering employees for broad-based action and the moral source of authority ....................... 235
Step 6: Generating short-term wins and the moral source of authority .................................................. 236
Step 7: Consolidating gains and producing more change and the moral source of authority ..................... 236
Step 8: Anchoring new approaches in the culture and the moral source of authority ............................... 237

Word Frequency – Moral Source of Authority ......................................................................................... 238
Superintendent Actions – Moral Source of Authority ............................................................................. 240
  Superintendent actions – Step 1 – Moral source of authority ............................................................. 240
  Superintendent actions – Step 2 – Moral source of authority ............................................................. 240
  Superintendent actions – Step 3 – Moral source of authority ............................................................. 241
  Superintendent actions – Step 4 – Moral source of authority ............................................................. 243
  Superintendent actions – Step 5 – Moral source of authority ............................................................. 244
  Superintendent actions – Step 6 – Moral source of authority ............................................................. 245
  Superintendent actions – Step 7 – Moral source of authority ............................................................. 245
  Superintendent actions – Step 8 – Moral source of authority ............................................................. 245
Summary .................................................................................................................................................. 246

V. ANALYSIS OF THE DATA .................................................................................................................... 248
  Introduction ............................................................................................................................................ 248
  Conclusions .............................................................................................................................. 250
    Research Question 1 .......................................................................................................................... 250
      Thematic analysis ............................................................................................................................. 262
      Word frequency ............................................................................................................................... 268
      Summary of research question 1 ...................................................................................................... 269
    Research Question 2 .......................................................................................................................... 270
      The foundation of Kotter’s Eight Steps for Change ........................................................................ 271
      Theme 1 – Establish a sense of urgency (Step 1) .......................................................................... 272
      Theme 2 – Create a guiding coalition (Step 2) ............................................................................. 275
      Theme 3 – Develop a vision and strategy (Step 3) ...................................................................... 279
      Theme 4 – Communicate the change vision (Step 4) ................................................................. 282
Theme 5 – Empower broad-based action (Step 5) ..................... 287
Theme 6 – Generating short-term wins (Step 6) ..................... 292
Theme 7 – Consolidating gains and producing more change
(Step 7) ........................................................................ 297
Theme 8 – Anchoring new approaches in the culture (Step 8) ... 301
Further analysis .................................................................. 305
Summary of research question 2 ....................................... 307

Research Question 3 ..................................................... 308

The foundation for Sergiovanni’s Five Sources of Authority .... 309
Theme 1 – Bureaucratic source of authority ....................... 309
Theme 2 – Psychological source of authority ..................... 312
Theme 3 – Technical-rational source of authority .............. 314
Theme 4 – Professional source of authority ....................... 316
Theme 5 – Moral source of authority ................................. 318
Summary of research question 3 ....................................... 320

Research Question 4 ........................................................ 321

Limitations of the Study .................................................. 325
Recommendations for Further Research ............................ 326
Conclusion ........................................................................ 328

APPENDIX

A. PARTICIPANT PROTOCOLS ............................................. 331
B. PARTICIPANT INVITATION LETTER .............................. 335
C. PARTICIPANT CONSENT TO PARTICIPATE IN RESEARCH 337
D. SUPERINTENDENT PROTOCOLS .................................. 340
E. SUPERINTENDENT INVITATION LETTER ....................... 344
F. SUPERINTENDENT CONSENT TO PARTICIPATE IN RESEARCH 346
G. STEP 1 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST
SERGIOVANNI’S SOURCES OF AUTHORITY ..................... 349
H. STEP 2 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST
SERGIOVANNI’S SOURCES OF AUTHORITY ..................... 355
I. STEP 3 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST
SERGIOVANNI’S SOURCES OF AUTHORITY ..................... 362
J. STEP 4 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST
SERGIOVANNI’S SOURCES OF AUTHORITY ..................... 372
K. STEP 5 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST
SERGIOVANNI’S SOURCES OF AUTHORITY ..................... 381
L. STEP 6 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST
SERGIOVANNI’S SOURCES OF AUTHORITY ..................... 387
M. STEP 7 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST
SERGIOVANNI’S SOURCES OF AUTHORITY ..................... 392
N. STEP 8 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST
SERGIOVANNI’S SOURCES OF AUTHORITY ..................... 397

BIBLIOGRAPHY .................................................................. 401

xviii
LIST OF TABLES

Table                                            Page
1. Bureaucratic Authority for Leadership                  53
2. Psychological Authority for Leadership                   56
3. Technical-Rational Authority for Leadership               58
4. Professional Authority for Leadership                    60
5. Moral Authority for Leadership                           62
7. Percentages of Student Ethnicity in Polk School District, Illinois, and the United States 86
8. Participant Demographic Data                             89
9. Breakdown of Coded References for Bureaucratic Authority and Kotter’s Eight Steps for Change 166
10. Word Frequency Table – Bureaucratic Authority and Kotter’s Eight Steps for Change 167
11. Breakdown of Coded References for Psychological Authority and Kotter’s Eight Steps for Change 185
12. Word Frequency Table – Psychological Authority and Kotter’s Eight Steps for Change 186
14. Word Frequency Table – Technical Rational Authority and Kotter’s Eight Steps for Change 206
15. Breakdown of Coded References for Professional Authority and Kotter’s Eight Steps for Change ................................................................. 221

16. Word Frequency Table – Professional Authority and Kotter’s Eight Steps for Change ..................................................................................... 222

17. Breakdown of Coded References for Moral Authority and Kotter’s Eight Steps for Change ............................................................................. 239

18. Word Frequency Table – Moral Authority and Kotter’s Eight Steps for Change .... 239

19. Word Frequency Table – Research Question 1 ................................................. 269

20. Breakdown of Coded References for Bureaucratic Authority and Kotter’s Eight Steps for Change .................................................................. 311

21. Breakdown of Coded References for Psychological Authority and Kotter’s Eight Steps for Change .................................................................. 313

22. Breakdown of Coded References for Technical-Rational Authority and Kotter’s Eight Steps for Change ................................................................. 316

23. Breakdown of Coded References for Professional Authority and Kotter’s Eight Steps for Change ...................................................................... 318

24. Breakdown of Coded References for Moral Authority and Kotter’s Eight Steps for Change ............................................................................. 320
**LIST OF FIGURES**

<table>
<thead>
<tr>
<th>Figures</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Lewin’s Change Model</td>
<td>35</td>
</tr>
<tr>
<td>2. Empowering Broad-Based Action</td>
<td>42</td>
</tr>
</tbody>
</table>
ABSTRACT

The dissertation examines the words and actions district superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident. This qualitative study deeply investigated the specific words and actions as offered by the superintendents of two educational systems and members of their respective leadership teams. Those actions were then filtered through two lenses. The first lens was John Kotter’s eight steps for change, and the second lens was Thomas Sergiovanni’s five sources of authority. The study generated five themes of specific actions taken by the superintendents, determined that four of Kotter’s eight steps for change were accomplished, and went on to successfully categorize each action taken based on one of Sergiovanni’s five sources of authority.
CHAPTER I
INTRODUCTION

Purpose of the Study

The purpose of this study was to examine the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident as examined through the lenses of John Kotter’s eight steps for change and Thomas Sergiovanni’s sources of authority.

Background to the Study

An educational system is much more than an organization in which educators work and students learn. Although an educational system is by no means living, stakeholders often attribute human characteristics to the system. Stakeholders, who are a part of the educational system, including both adults and children, establish strong feelings with an organization that offers them the desired structure for knowledge, satisfaction, self-esteem, and companionship. In fact, excluding the sleep time; system stakeholders will spend significant time in this second home with their second family. The combined actions, beliefs, and goals established over time by all invested stakeholders results in the development of unique organizational culture.

According to Schein (1992), organizational culture is the collective behavior of stakeholders who are part of an organization and the meanings that the people attach to their actions. Culture includes the organization values, visions, norms, working language, systems, symbols, beliefs and habits. Culture is the pattern of shared basic assumptions
that a group has learned over the course of time through solving problems that have proven to be valid enough to be taught to those new to the system as the correct way to perceive, think, and feel in relation to organizational problems (Schein, 1992).

Conversely, climate is the term used to describe the day-to-day ebb and flow of an organization. Specifically, climate is defined as the characteristics of an organization which focus on the current conditions as they are perceived by stakeholders, rather than on objective aspects of the setting (Schein, 1992). This includes the spur of the moment attitudes and feelings that characterize how the organization works. Climate can and often does change in an organization. However, it typically does not shift away from the systems culture for too long. Although culture and climate are related, climate often proves easier to assess and change (Schein, 1992).

According to Sergiovanni (2007), both climate and culture have similar characteristics, but climate is more interpersonal in tone and substance and is manifested in the attitudes and behaviors of teachers, supervisors, students and principals at work. It is a concept that enables the charting and interrelating of commonalities and consistencies of behavior that define, for better or for worse, the operating style of an educational system. Climate is concerned with the process and style of a school’s organizational life rather than its content and substances. (p. 13)

Sergiovanni (2007) states that system culture, by contrast, is more normative than school climate in the sense that it is a reflection of the shared values, beliefs, and commitments of stakeholders across an array of dimensions that include but extend beyond interpersonal life. What the schools in the system stand for and believe about education, organization, human relationships; what it seeks to accomplish; its essential elements and features; and the image it seeks to project are the deep rooted defining characteristics shaping the substance of its culture. (p. 13)

Although organizational culture is powerful, it is certainly prone to the effects of a single critical incident. One such critical incident may be a scandal; herein defined as “a
situation in which significant, but deliberately concealed, breaches of predetermined standards of correct behavior are revealed and are communicated to an audience wider than those immediately involved” (Belzak, Garrard, & Newell, 2008, p. 226). Scandals in an educational system are a deep and significant violation of organizational culture. They quickly result in system upheaval. In turn, questions from system stakeholders regarding the emotional, fiscal, and physical safety of everyone within the system proliferate. When an educational system experiences a scandalous critical incident, it is often the words and actions of the superintendent which serve to guide the system through the situation, leading toward a movement to reestablish a positive culture. By definition, this means the guiding of the organization back to and beyond the set of shared attitudes, values, goals, and practices that characterizes an institution or organization (Schein, 1985, 1992).

**Significance of the Study**

Superintendents are tasked with the day to day work of both understanding the culture of the educational system in which they lead and then identifying opportunities to help the culture evolve and grow. Sadly, educational systems may experience a somewhat instantaneous erosion of positive organizational culture due to a scandalous critical incident. This study provided insight into the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident. Despite all of the efforts of the superintendent, scandalous critical incidents in educational systems have been happening since the inception of public education and without a doubt, they will continue to happen. Moreover, educational leadership programs may use this study to improve and/or revise their curriculum to better prepare aspiring superintendents for their role as instructional leader,
and they stand to benefit from having a better understanding of a prospective toolkit to adequately prepare superintendents to address a scandalous critical incident.

**Proposed Research Questions**

The prepared research questions were:

1. According to the perceptions of district stakeholders, what words and actions did superintendents use to lead an educational system through a culture shift following the occurrence of a scandalous critical incident?

2. According to Kotter’s eight steps for change, what steps did superintendents accomplish to lead an educational system through a culture shift following the occurrence of a scandalous critical incident?

3. According to Sergiovanni’s five sources of authority, what sources of authority did superintendents use to lead an educational system through a culture shift following the occurrence of a scandalous critical incident during each of Kotter’s eight steps for change?

4. What are the implications to educational leadership identifying the best practices for leading an educational system through a culture shift following the occurrence of a scandalous critical incident?

**Proposed Methodology**

In a review of the research questions generated, consideration was given to the data that would be collected, analyzed, and interpreted. Thus, phenomenology served to guide the methodology and, in turn, the methods of this dissertation. Understanding the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident is a phenomenon that may
have lasting impact on an educational system and its stakeholders. The goal of this study was to determine the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident. The expertise and experienced knowledge of stakeholders who have garnered professional experiences in addressing scandalous critical incidents was probed in this study.

Implementing a phenomenological study supported the identification of a basic structure of professional experiences in identified stakeholders who experienced a scandalous critical incident and the subsequent steps used to lead a cultural shift in the school district as a result of the scandalous critical incident. In other words, the goal was to track and analyze the responses of the selected district superintendents, and note the themes in their provided responses to the queries created to address the research questions. Finally, identified themes in responses from additional participants within each educational system and interpreted data with respect to their context within the organization produced an imaginative variation; a characteristic of phenomenological study.

With respect to specific methods, a number of in depth interviews were conducted and analyzed. The collected data established common-thread feedback to the overarching research questions. As is the case with traditional phenomenological studies, the final product consisted of a composite description that presented the essence of the phenomenon, called the essential invariant structure. In summary, the creation of a list of repeated themes shed light on the words and actions superintendents used to lead an
educational system through a culture shift following the occurrence of a scandalous critical incident.

For purposes of this qualitative research component, identification of two participating districts and eight additional participants within the educational system were identified through a document review of local newspapers, internet searches, and postings of local board of education meeting minutes. On-site interviews were then scheduled with participating educational system.

Once the interviews were completed, an analysis of the data took place with the intent of determining the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident. Moreover, a horizontalization analysis made certain each piece of data received equal weight of importance. The process of sorting the data first through Kotter’s eights steps for change and then through the lens of Sergiovanni’s sources of authority served to identify phenomena which were then grouped according to discovered themes; with a full display of the data.

**Limitations of the Study**

One limitation of this study was the sample size. A limited sample size allowed for a deep and rich analysis of the educational system but it did not allow for greater participation and data. Moreover, it was important not to generalize the results beyond the population under study and to recognize that the observations that participants made were subjective and required verification. Because the researcher asked the participants to recall experiences from their past, it was possible that selective recall limited the richness of their accounts. Also, some perceptions may have changed over time.
Biases of Researcher

1. The researcher has personally witnessed a scandalous critical incident which had a negative impact on the culture of the educational system.

2. The researcher has closely observed superintendent actions in response to the critical incident.

3. The researcher was discouraged from working with district leadership to discuss methods to help lead the educational system through a culture shift.

Furthermore, as the researcher is a licensed superintendent in the State of Illinois, with formal training in educational system change strategies, he undertook the phenomenological process of epoche; bracketing his own ideas and philosophies about the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident to become a neutral figure in the research (Moustakas, 1994). Along with the practice of epoche, the researcher kept a reflective journal and maintained a log of pertinent questions, concerns, new information, contradictions and personal reflections.

As a reminder, the researcher followed five significant points made by Gilovich (1991) to help maintain researcher objectivity.

1. Our personal experiences tend to override information to the contrary, no matter how persuasive they may be.

2. We have a tendency to make up our minds on insufficient evidence.

3. We are more than likely to seek out and notice information that confirms what we already believe.
4. We are also likely to overlook or downgrade information that contradicts what we already believe.

5. We tend to be less critical of information that supports our pre-existing beliefs and more critical of information that challenges them.

**Proposed Chapters**

The proposed dissertation chapters will be laid out as follows:

Chapter I: Introduction

Chapter II: Literature Review

Chapter III: Research Methodology

Chapter IV: Presentation of Data and Findings

Chapter V: Data Analysis and Interpretations

**Key Terms**

Achiever: A theme in which superintendent actions are observed by participants in the educational system. This includes, but is not limited to, physical or mental tasks that are completed by the superintendent, specifically doing the work that may be delegated to others.

Climate: The characteristics of an organization which focus on the current conditions as they are perceived by stakeholders, rather than on objective aspects of the setting (Schein, 1985 & 1992).

Culture: A pattern of shared basic assumptions that a group has learned over the course of time through solving problems that have proven to be valid enough to be taught to those new to the system as the correct way to perceive, think, and feel in relation to organizational problems (Schein, 1985 & 1992).
Culture shift: The purposeful act of guiding an organization beyond the currently held dominant views, behaviors and attitudes which have proven to be valid enough to be taught to those new to the system as the correct way to perceive, think, and feel in relation to organizational problems (Schein, 1985 & 1992).

Educational system: A collective term for the governance, operations, and interactions of the stakeholders and facilities of a localized kindergarten through twelfth grade school district.

Influencer: A theme in which superintendent actions are observed by participants in the educational system. This includes, but is not limited to, engaging stakeholders in open discourse, being collaborative, considering solutions, and strategically sharing information intellectual property.

Problem Solver: A theme in which superintendent actions are observed by participants in the educational system. This includes, but is not limited to, gathering information to understand the root cause of a problem and acting competently to address the situation.

Reflective: A theme in which superintendent actions are observed by participants in the educational system. This includes, but is not limited to, collecting information and filtering the information against prior experiences to potentially create action.

Scandal: A situation in which significant, but deliberately concealed, breaches of predetermined standards of correct behavior are revealed and are communicated to an audience wider than those immediately involved (Belzak, Garrard, & Newell, 2008).

Scandalous critical incident: Situations in which significant, but deliberately concealed, breaches of predetermined standards of correct behavior are revealed and are
communicated to an audience wider than those immediately involved which can result in the erosion of the established culture of a specified educational system (Belzak, Garrard, & Newell, 2008).

Stakeholder: A board member, administrator, teacher, support staff member, parent, student, or community member with direct interest, involvement, or investment in the educational system.

Superintendent: A person empowered by the local board of education with executive oversight and administrative powers of the educational system.

Trust: A theme in which superintendent actions are observed by participants in the educational system. This includes, but is not limited to, creating valuable relationships with staff and stakeholders which allows others to act appropriately and morally without permission and reciprocates the same actions.
CHAPTER II

REVIEW OF THE LITERATURE

Organizational Culture

To understand the culture of an educational system, it is important to first understand the concept of organizational culture in a greater context. Schein (1985, 1992) presents a definition of culture which describes it as a pattern of shared basic assumptions that a group has learned over the course of time through solving problems that have proven to be valid enough to be taught to those new to the system as the correct way to perceive, think, and feel in relation to organizational problems.

Sergiovanni and Corbally (1984) propose that the culture of any system should include the values, symbols, and shared meanings of a group that might consist of customs, traditions, historical accounts, unspoken understandings, habits, norms, expectations, common meanings associated with objects and rites, shared assumptions, and subjective meanings. Bolman and Deal (1997) support this belief by stating that culture is “the interwoven pattern of beliefs, values, practices, and artifacts that define for members who they are and how they are to do things” (p. 217). Deal and Kennedy (1982) suggest that culture is the shared beliefs and values that knit a community together. Frost, Moore, Louis, Lundberg, and Martin (1985) point out that culture is a “coherent statement of who we are that makes it harder for us to become something else” (p. 385). Moreover, several cultural theorists have plainly believed that culture is the way we do
things around here (Bolman & Deal, 2008; Bower, 1966; Deal & Kennedy, 1982; Deal & Peterson, 1999).

Culture has an impact on the way systems operate, and it affects the way stakeholders within the system do their work. Culture tells people how to do what they do, and it determines how well they do it (Sergiovanni, 2006). Moreover, culture represents an effective means of coordination (Sergiovanni, 2006), builds commitment and identification (Schein, 1992), focuses daily behavior (Deal & Kennedy, 1982), and fosters successful change and improvement efforts (Deal & Peterson, 1990).

However, culture may have a negative side. Deal and Peterson (1999) suggest four characteristics that are common in negative cultures: there is a focus on negative values; the culture of the educational system becomes fragmented; exclusively destructive; and fractured. Sergiovanni (2006) warns of the dangers of negative cultures when he states that “disengagement, lack of connections, and other manifestations of alienation stand in the way” of creating the types of systems that we desire (p. 122).

Narrowing the focus of organizational culture to educational systems is similar. There are positive, healthy cultures in schools, and there are negative, toxic cultures in schools. Waller (1961) shared that schools have cultures that are a unique microcosm. “There are, in the school, complex rituals of personal relationships. There are games, which are comprised of sublimated wars, teams, and an elaborate set of ceremonies surrounding them. There are traditions and traditionalists waging their own battle against innovators” (p. 96).

Schein (1992) suggests that school cultures are an interwoven web of traditions and rituals that have evolved throughout the history of the educational system as teachers,
administrators, students, and parents work together to solve problems and celebrate accomplishments. Deal and Peterson (1999) state that a superintendent’s commitment toward understanding and correctly interpreting the culture of the system will help them to better comprehend the unwritten rules, traditions, norms, and expectations. They suggest that school culture is deeply connected to everything within the system, “the way people act, how they dress, what they talk about or avoid talking about, whether they seek out colleagues for help or don’t, and how teachers feel about their work and their students” (pp. 2-3).

Fullan and Hargreaves (1996) propose five unique levels of culture within an educational system: true collaboration, comfortable collaboration, contrived collegiality, balkanized, and fragmented. The most impactful and effective cultures will be found in systems where there is true collaboration amongst stakeholders. Fullan and Hargreaves suggest that educational systems with collaborative cultures are “places of hard work, of strong and common commitment, of dedication, of collective responsibility, and of a sense of pride in the institution” (p. 48). Educational systems where there is comfortable collaboration among the faculty might be characterized as positive, healthy cultures, as well. A culture of comfortable collaboration might involve support for colleagues and their work without a critical eye or constructive criticism. Sharing ideas, resources, materials, and giving advice would be characteristic of a culture of comfortable collaboration.

Fullan and Hargreaves (1996) go on to posit that educational systems that have negative cultures may find relationships rooted in contrived collegiality, which can be described as a style of collegiality that is typically controlled by administrators. This style
can best be defined by a set of formal bureaucratic procedures that focus attention on pushing stakeholders to work together in non-meaningful ways. Moreover, a balkanized culture may exist where there are numerous groups or subcultures who are jockeying for status within the school. Each group has established its own sub-culture and methods for how they will work. However, in a balkanized culture, the sub-groups don’t interact with each other (Fullan & Hargreaves, 1996).

Finally, a fragmented culture is characterized by stakeholder isolation and autonomy. Professional collaboration is nonexistent, and staff members are content to stick with the status quo. Champy (1995) describes the foundation of an educational system with a negative school culture as one that “squashes disagreement [and is] doomed to stagnate, because change always begins with disagreement. Besides, disagreement can never be squashed entirely; it gets repressed, to emerge later as a pervasive sense of injustice, followed by apathy, resentment, and even sabotage” (p. 86).

Hopkins, Ainscow, and West (1994) share key definitions of school culture by presenting a three-model approach which characterize an educational system as either being stuck, wandering, or forward-moving. An educational system that is considered stuck is rooted in contrived collegiality and isolation. The culture of this system is best described by poor organization, lackluster programming, and leaders that are powerless to make meaningful change. Next, an educational system considered to be wandering is characterized by meaningful innovation, but maintaining any forward movement from what they learn through the innovation is difficult. The culture of this educational system lacks a unifying mission, and stakeholders feel stressed from being pulled in so many directions. Many stakeholders from the wandering culture rely on prior achievements to
define their success. Finally, a forward-moving school culture is described by values and beliefs that stakeholders use to guide their decision-making. The culture of this educational system has a strong sense of its group identity and maintains a healthy balance between what has worked in the past and the potential for future innovation (Hopkins, Ainscow, & West, 1994).

In conclusion, it is important to note that culture does not just happen, it is a “negotiated product of the shared sentiment of school participants” (Sergiovanni, 2006, p. 138). Organizational culture is both a product and a process. As a product, it embodies the accumulated wisdom of previous members of the organization. As a process, it is continually renewed and recreated as new members are taught the old ways and eventually become teachers themselves (Bolman & Deal, 1991). The culture of the educational system is important to the development of healthy schools that focus on the achievement of students. It can be heavily influenced by the leadership of the system and has an effect on the success of the school within the system.

Upon a review of the relevant literature, four recent research studies related to the culture of educational systems were identified and reviewed. Each study examined the superintendent’s role on the culture of the educational system. For example, Donnelly, Adams, and Smith (2013) conducted a problem-based learning project that focused on superintendent leadership and stakeholder influence of school district culture. Research findings suggest the importance of superintendent leadership in assessing, influencing, and enhancing school district culture. Multiple scholars wrote literature in the area of organizational culture. The team identified Edgar Schein as the leading expert in
organizational culture and adapted his recommendations to school district culture (Donnelly, Adams, & Smith, 2013).

The project team read foundational literature in the field of organizational culture and identified four constructs to guide superintendent leadership in school district culture (Donnelly, Adams, & Smith, 2013). The constructs include: superintendent knowledge of a clearly defined school district culture, practices leading school district culture, assessing school district culture, and enhancing and changing school district culture. These constructs build a foundation for culture to assist in student achievement and staff productivity (Donnelly, Adams, & Smith, 2013).

As part of their research, Donnelly, Adams, and Smith (2013) interviewed superintendents from one metropolitan area to gather information and analyze responses in regards to school district culture. This analysis determined if superintendents possessed knowledge and practices of school district culture resulting in recommendations made to four audiences; superintendents, members of district school boards, leaders in institutions of higher learning, and policy makers in state departments of education culture (Donnelly, Adams, & Smith, 2013).

In a second example, Donald Johnson (2013) conducted a research project which examined the specific strategies and tactics that were used by veteran superintendents to develop a positive school district climate. In-depth interviews were conducted with active superintendents to investigate specific practices they employed to accomplish this goal. Johnson’s research pool of interviewees was comprised of superintendents in school districts from 2,500-11,000 students in the Western Wisconsin geographical area. His study also included a literature review that focused on organizational and school climate
and culture, with some inclusion of literature regarding corporate culture (Johnson, 2013).

The results of Johnson’s (2013) research indicated that superintendents address the development of positive organizational climate in definitive ways. Topics that emerged from the qualitative data and the literature review included establishing an effective communication plan, governance system, and recognizing key support players in the organization. In addition, establishing common mission, vision, beliefs, and values was also a common denominator for each of the superintendents. Further information outlined the importance of the relationship developed between the school board and the superintendent as a leadership team. Finally, the research indicates that superintendents in this study utilized similar common strategies to develop a positive climate in their organization. Each superintendent also adapted to the needs and conditions in his/her school system as servant leaders who exhibited intelligence, strength, and compassion (Johnson, 2013).

Thomas Lesniewski (2013) studied the relationship between the leadership style of superintendents and the organizational climate of the school district to improve the educational process. Lesniewski’s review of the literature indicated that transformational leadership was critical to the success of the school superintendent and that the climate of a school is relative to its success. However, the relationship between teachers' perceptions of the leadership style of school superintendents and the organizational climate of their school districts was limited (Lesniewski, 2013). The findings of Lesniewski’s study indicated that a correlation exists between school superintendents' transformational leadership style and school climate.
The study also found that factors such as; school type, size of the school district, the number of years a teacher knew his/her school superintendent, and how well the teachers knew their school superintendent, had a significant relationship with both school climate and the school superintendents' transformational leadership styles. The relationship between school climate and transformational leadership suggests that a school superintendent can have an impact on the learning environment of the school buildings in his/her district. (p. 16)

In another example of educational system culture and the role of the superintendent, Judith Jones (2013) investigated leadership practices and aspects of organizational culture which have an impact on school effectiveness. The subjects for the study included 30 teachers from two elementary, high-performing schools that met Adequate Yearly Progress (AYP), and 30 teachers from two elementary, low-performing schools which did not meet AYP for the 2010-2011 school year. As a result, the findings of Jones’ (2013) research study provided education professionals with useful and pertinent data which can be implemented for the purposes of school improvement and reform.

Jones (2013) collected data using the Leadership Practices and Organizational Culture Survey. The survey contained two sections, Leadership Practices and Organizational Culture, and consisted of 48 items to which participants responded using a Likert-type scale. The statements were grouped based on the following leadership practices and organizational characteristics: visionary, trust, change agent, instructional leader, effective communicator, school culture and climate, positive school cultures and toxic school cultures, and professional learning communities. A Causal-Comparative Research Design was used to conduct the study and the t test and MANOVA were used to analyze the data (Jones, 2013).
The results of the study demonstrate that teachers from high-performing schools have better perceptions of leadership practices and organizational culture than do teachers from low-performing schools and that there is a significant difference between the leadership practices of high performing and low-performing schools (Jones, 2013).

A Historical Review of the Scandalous Critical Incident

According to Thompson (2000), scandalous critical incidents have come to be an increasingly prominent feature of public life in modern societies; such as government, sports, large scale corporations with a public presence, and public education, to name only a few. “This may be due to the development of mass media communication and social networking, which have rendered the lives of individuals who walk on the public stage more visible than they ever were in the past” (p. 6). But what exactly is a scandal? Conceptually speaking, scandal is by no means easy to pin down. Partly this has to do with the negative connotation the term carries when we use it in every-day vernacular. Thus, there are plenty of events and episodes in which individually, we may regard as scandalous. Depending on our points of view, we might choose to call the incident in the Atlanta Public School System in which test proctoring rules were violated as scandalous. But the problem is how can we define scandal as an objective social phenomenon independent of our own perceptions and evaluations of right and wrong (Thompson, 2000)?

According to Belzak, Garrard, and Newell (2008) there are at least two criteria that need to be fulfilled in order for the term scandal to have relevance. That is, it refers to situations in which significant, but deliberately concealed, breaches of predetermined
standards of correct behavior are revealed. It would also mean that such breaches are communicated to an audience wider than those immediately involved.

Of course, Belzak, Garrard and Newell (2008) suggest that one is immediately aware that both of the aforementioned criteria raise as many problems as it solves. What is significant breach? And who makes up the audience to which such breaches are communicated? These are by no means trivial questions. Moreover, unless wrong-doing is discovered in the moment it takes place, or shortly thereafter, there can certainly be wrongdoing, but typically the notion of scandal as defined earlier will not fully develop. That transgressions be perceived as in some way damaging, at least potentially, to the interests of some of the public does indeed seem to be a further necessary condition for the outbreak of a scandal (Belzak, Garrard & Newell, 2008).

Although the effect of mass media communication and social networking has increased public awareness to scandalous critical incidents, they have been occurring in the public school system for as long as the concept of public education has been in place. Accordingly, the superintendent of the educational system has been responsible for handling the effect these situations have on the culture of the educational system.

**Hazing as a Scandalous Critical Incident**

In 1996, the State of Illinois created its first laws against hazing. Statute 720 ILCS 120, also known as the Hazing Act reads, a person commits hazing who knowingly requires the performance of any act by a student or other person in a school, college, university, or other educational institution of this State, for the purpose of induction or admission into any group, organization, or society associated or connected with that institution if the act is not sanctioned or authorized by that educational
institution and the act results in bodily harm to any person (1996). In Illinois, hazing is a Class A misdemeanor, except hazing that results in death or great bodily harm is a Class 4 felony (1996).

What follows are two historical accounts of school hazing that led to scandalous critical incidents in the respective educational systems. In a 1924 edition of the *New York Times*, Walter Duranty reported that two senior females attending Erasmus High School were burned with silver nitrate, an acid used in photograph development. Helen Chapman and Helen Steingester were pledging with a local high school sorority that was discovered to not be affiliated with the high school. The president of the sorority, Alice Norton, traced the letters D, K, and G on the girls’ foreheads and the outline of a cross on their backs. No effect from the chemical was felt until the day following, when the skin that was etched by the solution had turned black and resulted in intense pain (Duranty, 1924).

Dr. J. Herbert Low, the principal for Erasmus Hall High School at the time, stated that “the sorority had no connection with the school. It was a matter of coincidence that the two girls who were injured also attended Erasmus High School” (Duranty, 1924, p. 1). The author also reported that the parents of the girls were not contemplating action against the sorority, specifically Alice Norton, the chapter president of Delta Kappa Gamma who was also the girl responsible for the application of the silver nitrate. One parent, choosing to remain anonymous, stated that “the girl who applied the silver nitrate did not realize the serious effect of the chemical and as a result of what occurred had suffered sufficiently mentally for her false idea of humor” (Duranty, 1924, p. 1).
According to Nuwer (2000), school officials may choose to call the hazing incidences horseplay or roughhousing instead of what they really are - humiliating and dangerous activities. However, as reports of high school hazing are heard more frequently on the nightly news, in school board meetings, and in professional journals, “one conclusion is unmistakable: hazing in high schools across the country is becoming an increasingly pervasive problem that students, parents, school administrators and educators, and communities must address - and in a preventive way” (Nuwer, 2000, p. 19).

In this case, two high school females became physically scarred and the superintendent bears the responsibility for not only ensuring that hazing within the educational system is examined and addressed but will also be responsible for addressing the impact that the hazing incident had on the culture of the educational system. Scandalous critical incidents in educational systems which endanger and/or cause harm to children are flashpoints that can damage the culture of the organization. The role of the superintendent is to determine an appropriate course of action to consequently address and lead the educational system through a culture shift.

A second historical account of school hazing occurred in December of 1920. According to the editor of the Onedota Daily Star (1920), parents and community members were angry and demanding answers after a violent incident occurred between sophomore and freshman students who attended Waukegan High School, in Waukegan, Illinois. The Oneonta Daily Star reported that “a gun battle and free for all fight occurred in which one student was shot and another beaten into insensibility” (p. 11). The students involved were from some of the most prominent families. The incident started when three
boys and two girls drove to attend a party. They were seized by five students who were intent on hazing the group.

Carl Ambrose, a boy escorting the girls, drew a revolver and shot Theodore Lux, a sophomore student. Neil Dickson, an upper classman, tore the gun from Ambrose. The masked youths then beat Ambrose into insensibility. Two of the girls then took a role in the ordeal. One obtained the gun and fired two shots into the air. The masked boys ran away, leaving their wounded companion behind. (*Oneonta Daily Star*, 1920, p. 11)

A hazing situation resulting in a gun battle between students on the way to a school dance and the death of a classmate, can erode stakeholder confidence in the educational system and question the operational safety of the district. These problems can significantly affect the culture of the educational system. The U.S. Department of Education (1996) asserts that “making schools safe, orderly and violence-free requires the support and cooperation of the entire community... it is essential that community groups and businesses provide students with the assistance and support needed to live in a community and go to school without the fear or threat of violence” (p. 15). First, the role of the superintendent will be to support the authorities to address the crime that resulted in the loss of a student’s life. Moreover, the superintendent will be critical in gauging the damage done to the culture of the educational system and determining a plan for repair.

Although hazing is a scandalous critical incident that can erode the culture of an educational system, the following two categories of scandals will be the focus of this dissertation.

**Deception as a Scandalous Critical Incident**

According to Cressey (1953), embezzlement is property theft. It occurs when someone who was entrusted to manage or monitor someone else’s money or property
steals all or part of that money or property for the taker's personal gain. The key is that
the defendant had legal access to another’s money or property, but not legal ownership of
it. Taking the money or property for the defendant’s own gain is stealing; when combined
with the fact that this stealing was also a violation of a special position of trust, you have
the unique crime of embezzlement (Cressey, 1953).

According to the Illinois criminal code section 720 5/16-1(b) (2012), a defendant
who embezzles public money or property, or otherwise uses a position as a public servant
to embezzle money or property related to his duties in that role, is guilty of a felony and
is punished based on the level of money or property stolen.

What follows are two historical accounts of deception that led to scandalous
critical incidents in the respective educational systems. The Marion Weekly Start (1905)
reported that the community of Peoria, Illinois was appalled to discover their respected
school leader was at the center of a scandalous critical incident.

Newton C. Dougherty, for thirty years superintendent of the Peoria city schools, is
indicted by the Peoria county grand jury for embezzlement and misappropriation
of school funds and later arrested. The amount of the loss to the school fund is
variously estimated from $10,000 to $75,000 and it may reach a very much larger
sum before the investigation of all the books is completed. Dougherty is also
president of the Peoria National Bank, where most of the schools cash was kept.
He is one of the best-known educators in the country. He was president one term
of the National Educational Association, and has been a member of the executive
committee for many years. It is said at noon that the total shortage may reach half
a million dollars. (Marion Weekly Star, 1905, p. 1)

According to Cressy (1953), public officials can become financial trust violators
when they conceive of themselves as having a financial problem which is non-shareable,
are aware that this problem can be secretly resolved by violation of their position with
access to finances, and are able to apply false logic that enables them to view themselves
as acceptable users of the entrusted funds or property. In turn, the community and any applicable stakeholders are left wondering why their confidence in Mr. Dougherty was irreparably damaged after the embezzlement took place. What is more, it will be the role of the superintendent to determine the effect that the scandalous critical incident had on the culture of the educational system and then determine an appropriate action to lead the organization through a culture shift.

In December of 1933, *The Evening Independent* reported that the local board of education:

removed Mr. Hal C. Smith from the position of coach of the Washington high school basketball team for publishing a false record of a game between local players and a team from Anderson, Ind. Mr. Smith, requested to telegraph to The Independent the results of the game, reported the final score 39 to 35 in favor of Anderson. Not until an Anderson paper, reporting the result to have been 45 to 15 arrived was trickery suspected and when an investigation was made it was found that not only had the score been padded but that members of the team had been warned by their coach against sending home the truth. Coach Smith took great pride in the work of his team and his desire to maintain its standing as high as possible is understandable. But there could have been no justification, even under the impulse of the moment of defeat, for a deliberate misstatement and when young members of the team were dragged involuntarily into conspiracy to disseminate false information. Mr. Smith evidenced a willingness not only to pull himself down but his boys with him (*The Evening Independent*, 1933, p. 4).

According to McCabe (2001), in regards to cheating,

students look to others, specifically adults, to determine what is acceptable behavior, and acceptability depends to a large extent on the culture established in the school. If the school, as a whole, has achieved some level of consensus that cheating is wrong students will hesitate to cheat for fear that both peers and adults will disapprove. (pp. 42-43).

Cheating, comprised of both lies and deception, creates a sense of mistrust amongst stakeholders. In turn, mistrust can have a negative impact on the culture of the educational system. The superintendent is responsible for gauging the culture of the
system. Not only will the superintendent need to develop a plan to address the cheating behavior of the coach, but the superintendent will also be required to identify an action plan to lead the educational system through a culture shift as a result of the coach’s behavior.

**Sexual Transgressions as a Scandalous Critical Incident**

When these teachers engage in sexual transgressions with students, it can cause untold damage to the student, the student’s family, the school and the community as a whole, not to mention the career of the teacher. Not only is an inappropriate teacher-student relationship unethical, but in most cases, it is a crime with multiple levels of charges. In January of 2013, the State of Illinois, a new law was created which requires schools to educate students on sexual assault and abuse, and what to do if it happens to them. The law was designed to teach children what sexual assault is, and that they should speak up if it happens (Illinois Radio Network, 2013).

What follows are two historical accounts of deception that led to scandalous critical incidents in the respective educational systems. As reported in the *Huronite and the Daily Plainsman* in December of 1946, came a 16-year-old’s description of 17 sexual transgressions that began as hypnotic treatment and resulted in a statutory rape conviction of a local school teacher.

Superior Judge Clement D. Nye, hearing the case without a jury, convicted Arthur Knight, 36, after hearing the testimony of Roberta Ann Rockwood. Roberta said that Mr. Knight was supposed to give her hypnotic treatments to cure her social maladjustment. The transgressions began with the first treatment, Roberta said. ‘He put me to sleep. Then he woke me up and kissed me. Then he kissed me a lot more’. (*Huronite and the Daily Plainsman*, 1946, p. 1)
The trust between parent and teacher can become shattered when inappropriate transgressions occur between adult and student. The teacher is supposed to be a moral guide who “leads the pupil to proper and acceptable conduct and wisdom. Any sexual exchanges between student and teacher are taken as fundamentally damaging to the self-esteem of the student, and are the grounds for dismissal and possible incarceration” (Jagodzinski, 2006, p. 339). First, the superintendent will be responsible for taking part in the investigation that transpired in Los Angeles in 1946 and then working with the local board of education to decide appropriate discipline up to and including termination. However, the superintendent will also be responsible for assessing the damage done to the culture of the educational system as a result of the actions of Mr. Knight and establishing a course of action to restore stakeholder faith in the educational system.

The final scandalous critical incident involves a break in the sacred trust extended from the parent to the teacher to ensure the safety of the child. This trust was violated in Gurnee, Illinois in August of 1973 when community members were notified that an eighth grade science teacher is free on $40,000 bond after his arrest on kidnaping and morals charges in an incident that authorities believe may be linked to an alleged organized sex ring of nearly 200 boys and girls. Richard Bretzlauf, 32, was arrested Friday after a 15 year old girl told police she was abducted by Bretzlauf at gunpoint and sexually molested in this suburban area 35 miles north of Chicago. Police said the girl gave her account last week and also told Lake County State's Attorney Jack Hoosigan of a secret group organized to promote sexual activities among students at Viking Junior High School. ‘We have an extremely delicate situation here,’ said Sheriff Orville Clavey, ‘and we're putting every ounce of effort into it.’ Clavey said he had ordered a special police unit to conduct an immediate, round the clock probe of the matter. Sheriff's police said they found pornographic literature and both still and motion pictures of some of the students involved in the ring in a foot locker allegedly owned by Bretzlauf. In addition to the kidnap, Bretzlauf was charged with committing indecent liberties with a child. (Ironwood Daily Globe, 1973, p. 6)
The effects of sexual abuse between teacher and student are far reaching, including a dramatic effect on the culture of the educational system. “Any sexual exchanges between student and teacher are taken as fundamentally damaging to the self-esteem of the student, and are the grounds for dismissal and possible incarceration” (Jagodzinski, 2006, p. 339). Finkelhor (1984) suggested as a result of the sexual abuse that there are four categories of experiences that can alter a child’s self-concept and emotional capacities: (a) traumatic exposure to sexual behaviors that are developmentally inappropriate, (b) a sense of powerlessness or helplessness in preventing the abuse, (c) a sense of stigmatization associated with the abuse, and (d) a sense of betrayal of a trusted person. Both the educational system and the medical community will shoulder the responsibility for supporting affected students.

**The Role of the Superintendent on Organizational Culture**

According to Patterson, Grenny, Maxfield, McMillan, and Switzler (2008), the typical superintendent does not view his/her role in the educational system as an influencer. Serving as decision maker and demonstrating responsibility for the operations and decisions of the educational system they lead is the desired focus of the daily work of the superintendent. However, it is imperative that the superintendent becomes deeply proficient at exerting influence and recognizing the obligation of becoming an effective agent of change (Patterson, Grenny, Maxfield, McMillan, & Switzler, 2008). This change cannot come as a result of simply making decisions. The superintendent needs to understand that the power of the position is essential in influencing school district culture; that the guidance he/she provides will make or break the culture of the educational system (Bolman & Deal, 2008). Schein (2009) noted that if a leader is not a
steward of the system’s culture, always working to gauge the pulse of it, then the culture will ultimately manage the superintendent.

The superintendent has tremendous ability to influence the culture of the educational system by crafting key communication, managing a personal leadership style, and demonstrating flexibility to support the culture of the system to evolve with little resistance. Fullan (2001) stated that leading in a culture geared toward change means creating a subculture which embraces change. It does not mean adopting innovations, one after another, for the sake of change. It does mean producing an internal carrying capacity to seek out, critically assess, and selectively adopt cutting edge ideas and practices as a fundamental operating principle of the system.

However, to lead a culture shift, trust is elemental. Bennis (2003) suggested that people trust you when you display ethical behavior that values open discourse, when you are scrupulous in your intent towards two-way communication. Even if the superintendent is not a gifted orator, honesty and fairness will always stand apart and stakeholders will respond positively. A critical component of managing the educational system is the superintendent’s ability to continually examine his/her influence on the culture of the educational system.

According to Schein (2009), the superintendent gains a better understanding of the system culture by seeking out the stakeholder groups where deeper cultural assumptions can reveal themselves and determining an appropriate method to motivate stakeholder groups to share culture assumptions. Deal and Peterson (2009) defined assumptions as tangible bits of knowledge which “are deeply embedded in a cultural tapestry, and they shape thoughts and actions in powerful ways. Cultural assumptions are
hard to assess because they are so closely aligned with myths and at times even harder to change” (p. 66). A critical component in leading educational system culture is the superintendent’s skill set for being able to evaluate cultural assumptions related to the operations of the system.

Moreover, all educational systems grow and evolve at different rates; this can result in the creation of subcultures within the culture. Schein (2009), notes that within some cultures the subculture can be stronger and more influential than the culture itself. The superintendent must understand the parallel relationships of the subcultures and align them toward a common purpose. Even in the best systems, there will always be subtle layers of cultural buy-in that will exist. The role of the superintendent is to understand that the effectiveness of the educational system is based in part on valued inputs from the subcultures. Schein also stated,

Different groups may have evolved genuinely different subcultures, that the contributions of each of these subcultures is needed for organizational effectiveness, but that the subcultures can be in conflict with each other. One of the critical functions of leadership is to ensure that these subcultures are aligned toward shared organizational goals. (p. 57)

Subcultures left to its own devices can have a negative impact on the culture of the educational system. Professional collaboration of these subcultures is essential for organizational effectiveness and future growth. Deal and Peterson (2009) recognize that at times schools are like isolated cells or tubes that people enter in the morning and leave at night. Without careful attention and understanding the effect that isolated departments and teams have on the culture of the system, departments or grade level teams, even with the best of intentions, can effectively replace system collaboration and sense of community.
Bear in mind, it is not the role of the superintendent to eliminate subcultures. Conversely, the superintendent needs to know how the subcultures came into being and track the subcultures progress within the educational system to monitor and assess effectiveness. Schein (2009) explained that all stakeholders and organizations need to know how they are doing against the goals that were developed and periodically need to check to determine whether they are performing in line with the mission.

Yet, assessing the culture and subcultures cannot be solely based on survey results. According to Schein (2009) use of a survey instrument alone is not an effective means to assess culture. “No survey will have enough questions to cover all of the relevant areas; individual stakeholders will not know how to answer many of the questions. Moreover, if they do provide data, you will not know what the salient elements of the culture are relative to some problem you might be trying to solve” (p. 220).

Again, bringing groups together within the educational system, to talk about the system that leads them, allows them to identify the tacit assumptions that were created. Bolman and Deal (2008) suggest that the superintendent needs to get out of the office and spend time with stakeholders to monitor the culture of the educational system. Effective assessment includes the monitoring of subcultures and the impact those subcultures play on the overall culture. Superintendents continually assess the culture and subcultures to lead and enhance school district culture.

Inherent in the role of the superintendent, is the ability to enhance and repair the culture of the educational system by effectively mobilizing stakeholders. Mobilization encourages stakeholder input and engagement for shared ownership for the culture of the educational system; the superintendent cannot enhance or repair the culture alone. Bennis
(2003) recognized that the mobilization of stakeholders allows them “to engage others by creating shared meaning. They have a vision, and they can persuade others to make that vision their own” (p. xxi). Stakeholder commitment and collective efforts are essential components of change.

Moreover, Schein (2009) indicated that the superintendent must possess a clear understanding of adult learning and the tenets of change theory before the culture of the educational system can be shifted. Stakeholders resist change because the superintendent is asking them to ‘unlearn’ something that they are comfortable with and to ‘learn’ something new. Stakeholders, in general, have little desire to abandon beliefs, attitudes, values, and assumptions that they deeply embrace let alone learn something new.

Leading an educational system through a culture shift requires strategy and innovation but can also be disordered and frenzied in a number of stages. According to Fullan (2001), “the change process in culture is less about innovation and more about innovativeness. It is less about strategy and more about strategizing” (p. 31). Fullan felt that to successfully shift the culture of an educational system the process will be accompanied by messiness and the ability to creatively adjust as needed.

That being said, the superintendent needs to facilitate creative problem solving to assist in shifting the culture of the educational system. “Leadership is not mobilizing others to solve problems we already know how to solve, but to help them confront problems that have never yet been successfully addressed” (Fullan, 2001, p. 3). Stakeholders will inspire and motivate each other, noted Fullan, to develop and carry out ideas to help better the educational system. It has to be the expectation of the superintendent to engage all stakeholders in the change process.
Harnessing the culture of an educational system requires having an understanding of the stakeholders within the system. Collins (2001) suggested, “…they gave people freedom and responsibility within the framework of the system. They hired self-disciplined people who didn’t need to be managed, and then managed the system, not the people” (p. 125).

Moreover, some scholars suggest that the superintendent follow a clear and systematic approach to change that includes policies, structures, and multiple steps. Kotter (1996) proposed an eight step process for guiding a culture shift in an organizational system. To make a change in the culture of an educational system, the superintendent must follow the steps listed below.

1. Establish a sense of urgency
2. Create a guiding coalition
3. Develop a vision and strategy
4. Communicate the change vision
5. Empower broad-based action
6. Generate short-term wins
7. Consolidate gains and produce more change
8. Anchor new approaches in the culture. (p. 21)

The development of clear structures support the change process needed to shift the culture of the educational system. If structures are not established, it is the responsibility of the superintendent to develop and promote them. Lezotte (2004) reported the following, “As you can see, having high expectations in not as simple as merely saying you have them. Rather, the entire educational system must back up this belief with concrete policies and restructuring” (p. 2).

A successful shift of an educational system’s culture is based on the quality of the established structures and the districts willingness to continually change for
improvement. Bolman and Deal (2008) felt that the change process “eventually requires some form of structural adaptation. Restructuring or reengineering is a logical but high-risk response. In the short term, it invariably produces confusion, resistance, and even a decline in success. In the long run, success depends on how well the new model aligns with environment, task, and technology” (p. 97).

Next, the superintendent needs to focus his/her attention on building relationships and networks with school community stakeholders. Fullan (2001) noted, if relationships improve, things get better. The superintendent needs to create and foster relationships with a variety of stakeholders from within the school community. An effective superintendent regularly nurtures purposeful interactions with stakeholders.

Throughout those purposeful interactions, the superintendent should implement positive strategies that influence and guide stakeholders to support necessary changes. Change is less likely to be met with resistance if naysayers are converted to advocates. It is the job of the superintendent to persuade, in an appropriate manner, stakeholders to accept the process of change (Green, 2001). Recognizing the value of personal contact and face to face conversations with stakeholders reinforces the superintendent’s influence on the culture of the educational system (Bolman & Deal, 2008). Finally, the superintendent must learn to engage and not fear stakeholder activism, especially community involvement.

Collins (2001) explained that the process of shifting culture could include changing stakeholders and/or the roles that the stakeholders play in the system. This process is used with the analogy of driving the bus. The educational system is the bus and the passengers are the stakeholders involved. “The best people are the ones who do not
need to be managed. Guided, taught, and led – yes. But not tightly managed. We have wrong people on the bus, the ones who drain our energy and we invest time in trying to properly manage the person but the situation never improves” (p. 56).

If the culture of the educational system requires change, then the initial stages of enhancing culture are based on mobilization of stakeholder input, roles, and responsibilities to enhance and change school district culture. Stakeholder understanding and support for change is important. Lezotte (2004) recognized the value of assessing the elements of culture by initiating and sustaining human change in an educational system. “The reality of organizational change is that change never gets easier; it’s never convenient, universally popular, without opposition, or risk free” (Reeves, 2006, p. 99).

**Organizational Change Lens**

**Lewin’s Process of Change**

Kurt Lewin, considered to be the father of change (Harvey & Broyles, 2010), posits a model for change consisting of three stages. According to Harvey and Broyles, this model for change is presented as a process rather than a single event.

<table>
<thead>
<tr>
<th>Point A</th>
<th>Lewin’s Change Model</th>
<th>Point B</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unfreeze</td>
<td>Mov’t “Movement”</td>
<td>Refreeze</td>
</tr>
</tbody>
</table>

*Figure 1. Lewin’s Change Model*

In unfreezing, the first stage of Lewin’s model, motivation to change comes by making the desired change more valuable than remaining content with the status quo (Schein, 2013). This stage of Lewin’s model for change suggests the need to present and communicate a sense of urgency and a clear vision (Harvey & Broyles, 2010; Kotter, 1996).

In stage two of Lewin’s model, referred to as movement, the organization progresses toward the desired change. This movement is facilitated by minimizing barriers. Leaders successful at minimizing barriers develop the momentum to change the organization (Kotter, 1996; Kotter & Schlesinger, 2008). Minimizing barriers is connected to the leader’s ability to provide support for members of the organization to acquire the necessary skills for successful change (Kotter, 1996; Kotter & Schlesinger, 2008).

The third stage in Lewin’s model is referred to as refreezing. During this stage leaders capitalize on successes. Here the change is functionally normalized (Harvey & Broyles, 2010). Organizations can be fragile at this time, but it is important to ground changes in the culture of the organization. Without changing the culture, old practices are likely to recur (Kotter, 1996).

Using Lewin’s model for change, John Kotter (1996) author of *Leading change*, outlines eight steps for leading successful change. Integrating these strategies with Lewin’s stages yields successful results in changing organizations (Kotter & Schlesinger, 2013).
Kotter’s Eight Steps for Creating Successful Change

There are numerous reasons why organizations fail at successful change. Certainly there are resistors within organizations. Considering Lewin’s three-phase process for change, Kotter (1996, 2006) identifies eight steps to facilitate successful change:

1. Establishing a sense of urgency
2. Creating the guiding coalition
3. Developing a vision and strategy
4. Communicating the change vision
5. Empowering employees for broad-based action
6. Generating short-term wins
7. Consolidating gains and producing more change
8. Anchoring new approaches in the culture. (Kotter & Schlesinger, 2013, p. 107)

Establishing a sense of urgency. It is difficult to inspire members to change unless there is appropriate stress to make change more desirable than maintaining the status quo (Kotter, 2006). According to Lewin, leaders need to unfreeze members of the organization in order to get them to change (Harvey & Broyles, 2010). Creating a sense of urgency is a critical component to motivating change (Kotter, 2006). Like Lewin’s first stage in driving change, the right amount of stress is needed to urge the inclination for change (Harvey & Broyles, 2010). In school settings, like business, Fullan (2001) called “equilibrium the precursor to death” (p. 108). Fullan constructed the picture of the organization faced with threat or great opportunity as moving toward chaos and emerging in a new form. Change requires creating a new system. Creating a new system requires leadership. If the urgency rate is not substantial enough, the transformation will not be successful because the need to change is not perceived as necessary. Communication of this sense of urgency needs to be done broadly and dramatically.
Creating the guiding coalition. A high sense of urgency helps when putting together a guiding coalition (Kotter, 2006; Kotter & Cohen, 2002). In successful change, organizations develop powerful guiding coalitions (Kotter, 2006). When creating movement, found in the second stage of Lewin's model, coalitions are instrumental in helping members let go of old patterns. A strong guiding coalition represents members of the team. They are diverse in position, expertise, reputation, and relationships (Kotter 1996, 2006). Organizations can experience success in a change initiative but the success might be short term if the guiding coalition is not established. This team has skill, rapport, influence, and relationships that will provide change leadership. A team less equipped will not provide the impetus for the needed change and leave the landscape sprinkled with frustration (Kotter & Schlesinger, 2013).

The guiding coalition needs to be motivated. Members of a group are willing to go the extra mile when they associate the good work they accomplished with success. This in turn generates synergy throughout an organization (Kotter & Cohen, 2002). Pitfalls to developing a strong team are deferring to history or organizational politics. It is important for leaders to choose the right team, members who have the appropriate skills, level of trust and credibility to manage the change, and with the skills to work as a team (Kotter & Cohen, 2002). Collins (2001) referred to this as not simply having people on the bus, but getting the right people on the bus as well as getting the wrong people off the bus.

In time, opposition can overcome and stall the change process (Kotter, 2006). Beyond getting the team together, leaders must ensure that they are equipped with a clear
understanding of the need for change. The guiding coalition needs to clearly understand the vision. The vision must be embraced by the guiding team (Kotter & Cohen, 2002).

**Developing a vision and strategy.** In Lewin's change theory, continuing in Stage 2—movement, getting members of the organization to move to Point B (see Figure 1) requires establishing an attractiveness that makes moving desirable (Harvey & Broyles, 2010). It is up to the leader to develop a picture for the future for all stakeholders (Kotter, 1996). Kotter contended that empowering people for effective change requires a shared sense of purpose and vision (Kotter, 2006).

Leadership and the vision of leaders are important. Senge (1990) stated that “shared vision is vital for the learning organization because it provides the focus and energy for learning” (p. 206). Speaking to the necessity of shared vision, Senge continued as follows: organizations intent on building shared visions continually encourage members to develop a personal vision. If people don't have a personal vision, all they can do is sign up for someone else's. The result is compliance, never commitment. On the other hand, people with a strong sense of personal direction can join together to create a powerful synergy toward what I/we truly want (Senge, 1990).

Organizations have the ability to deny or repress accepting that there is a problem because they cannot conceive of any solution. Effective leadership can cast a vision allowing an organization to acknowledge that change is needed because it casts a vision of options allowing them to move forward (Harvey & Broyles, 2010). The development of vision might begin with a single individual. According to Kotter (1996), this individual's thoughts are a big picture, somewhat fuzzy or unclear. Overtime, as the
leader develops a guiding coalition, his or her joint efforts help the vision come into focus (Kotter, 1996).

Kotter (2006) noted that the leader's ability to communicate the vision succinctly and effectively is essential. In John Kotter’s book “Leading change: Why transformation efforts fail,” (p. 102) posited this “rule of thumb: if you can’t communicate the vision to someone in five minutes or less and get a reaction that signifies both understanding and interest, you are not yet done with this phase of the transformation process” (p. 102).

Vision is needed to provide clarity of purpose. Without it direction can be fragmented. Herold and Fedor (2008) presented the concern that multiple layers of responsibility fragment the energy and focus of school teams, producing a lack of clarity that compounds miscommunication and vision. Counter projects and directives can be misleading, draining energy, time, and resources from the change initiative (Kotter, 2006).

Once the guiding coalition is developed and the vision refined, it is time to communicate that vision. There is a correlation between the quality of communication and the resistance encountered (Kotter, 1996). Poor communication leads to misunderstandings and lack of trust (Kotter & Schlesinger, 2013).

**Communicating the change vision.** The membership of an organization often does not understand the vision because it has been poorly communicated. Kotter (2006) noted that 50% of transformations fail because leaders overlook the need to communicate the sense of need for the change, they overestimate the effectiveness of the shared communication, or they avoid the task of bringing up the need for change. This is often due to the difficulty of bringing up the dire need because it sounds negative (Kotter, 2006).
Communicating vision effectively cannot occur when the efforts to share information are represented by single presentations, occasional meetings, or information in newsletters. A leader is responsible for ensuring that affected stakeholders give the relevant information to substantiate the need for change. Communicating the logic and need for change in advance can reduce the resistance to change (Kotter, 2006; Kotter & Schlesinger, 2008).

It is the vision of leadership that is founded in high expectations of student achievement and effective teachers, who teach students to be thinkers who can solve problems in substantively analytic ways. In the article, “Change the way you lead: Leadership strategies that really work,” Herold and Fedor (2008) stated, “Most schools that significantly boost performance set ambitious, numeric annual goals; most flat-performing schools have either no goals or unimpressive goals” (p. 14).

Research conducted by Kotter (2006) suggested that organizations under communicate by the power of 10. Even in good communication efforts, organizations utilize as little as .0005% of annual interagency communication to focus on understanding the vision. Good leaders make the vision a part of what they do every day. The vision is incorporated and communicated through the leader’s hour-to-hour activities. The leader becomes a living symbol of the new, expected culture by communicating in word and deed, deed being the more powerful (Kotter, 2006). Leaders who manifest behaviors incongruent with an organization's vision can also undermine the success of desired change (Kotter, 2006).

Congruence between communication and the actions of the leader builds trust (Kotter, 1996). Herold and Fedor (2008) noted that trust is essential to get members of an
organization to follow. An element of trust and credibility is built when communication is clear and open (Kotter, 1996). Leaders build trust by holding themselves responsible when issues arise and by sharing credit when they experience success (Collins, 2001).

**Empowering broad-based action.** Kotter (1996) identified another strategy contributing to effective change. Leaders have to remove barriers to empower the teams within the organization to facilitate change. Kotter described four particularly important barriers that leave members of organizations feeling powerless (see Figure 2).

![Figure 2. Empowering Broad-Based Action](image)

*Figure 2. Empowering Broad-Based Action*


Barriers can be poor communication and inattention to provide needed skills. Not removing barriers in a timely manner can lead to frustration and undermine the desired change (Kotter, 1996).

Like any organization, asking teachers to change a personal practice requires removing obstacles. Asking teachers to change engrained instructional practice requires giving them new tools to use. Often that requires encouraging members of the
organization to take risks. An identified reason for resistance to changing instructional practice is attributed to lack of support in the school environment. Teachers expressed fear of experimenting with new strategies. When employees are poorly equipped for a change they experience fear and anxiety (Kotter, 1996).

It is important for leaders to properly assess the capabilities of employees (Herold & Fedor, 2008). The learner anxiety can be reduced by equipping members of the organization through professional development, reducing the fear of failure in an environment where risk taking is valued (Schein, 1992). Fullan (2001) noted that teachers experience a sense of security from established patterns and routines. Disrupting these routines causes fear.

**Generating short-term wins.** If leaders do not balance time between communicating urgency and celebrating wins, teams will lose momentum and begin to feel defeated (Kotter, 1996). People want to be associated with success. They want to do a good job and be recognized for the hard work they put forth (Fullan, 1993). People want to be a part of a winning team and feel they are making a difference (Fullan, 2001). According to Kotter (1996) short-term wins have three attributes. First of all, short-term wins are visible. They stand out as real and indisputable. Second, the success is unambiguous and definitive. Finally, the win is indisputably attributed to the change initiative.

Short-term wins play a role in the success of the change process. They provide reinforcement and encouragement that the sacrifices made and energy spent is improving performance. It is also good for the organization to take a breath, relax, and celebrate. Long-term, unrelenting stress is counterproductive. Kotter (1996) contended that this
opportunity to celebrate provides the organization time to use data for reflecting on the vision and its accuracy. It provides time for the organization to fine tune the vision. In organizations, in particular those with resisters, celebrating the improvement in performance can disarm the cynics and those trying to undermine change. Kotter goes on to explain the importance of keeping all management on board with the change. For change to stay on track, leaders need evidence that the change is productive and positive (Kotter, 1996). Finally, the recognition of short-term wins helps to build momentum (Fullan, 1993; Kotter, 1996). It is easy to assume that, while looking for major change to be successful, leaders focus on long-term results; planning for short-term wins brings credibility to the efforts of the team.

**Consolidating gains and producing more change.** This is a strategy where members of the organization can begin to relax and confuse celebrating short-term wins with successful completion of the change. The sense of urgency can wane if celebrations are interpreted as mission accomplished or goal achieved. According to Kotter (1996), “Whenever you let up before the job is done, critical momentum can be lost and regression may follow” (p. 133). It is also tempting to begin taking on additional changes. Kotter encouraged organizations to carefully consider the necessity of adding additional initiatives as they may exhaust members.

Further, Herold and Fedor (2008) noted that adding additional changes result in lower performance and more time to implement change because members feel they are constantly playing catch up. Herold and Fedor stated, “People have a finite capacity to adapt to change, it is up to change leaders how they best utilize this capacity” (p. 108).
Anchoring new approaches in the culture. According to Kotter and Cohen (2002) change can be fragile and is often held together by the guiding coalition, a system of compensation, or even the initial enthusiasm generated by a successful change. The portion of Lewin's change process known as refreezing is supported by a final strategy presented by Kotter. It is necessary to firmly plant the changes into the culture and norms of the organization (Herold & Fedor, 2008; Kotter, 1996). According to Kotter (1996) culture refers to the “norms of behavior and shared values among a group of people” (p. 148). The norms of behavior are the common ways of acting. These norms are generally taught and maintained by those in the organization. They are taught through rewards or withholding rewards depending upon whether or not members conform. Shared values are less visible than norms and more difficult to change (Kotter, 1996).

Culture is difficult to change and anchoring it into new patterns requires connecting the successful change to the change in behaviors, along with establishing how the changes influence and benefit performance. Change in culture usually occurs at the end of the change process. Without anchoring the changes into the culture it is likely old practices and behaviors will return (Herold & Fedor, 2008; Kotter, 1996).

Leadership Lens

Leadership Strategies

School leadership has long been studied to guide change. Indeed, there are standards for educational leaders and broad recognitions about the qualities of effective leaders. For example, Collins (2001), Kouzes and Posner (2012), Marzano, Waters, and McNulty (2005), and Reeves (2002) all recognize the importance of working with people through the change process. While Collins (2001) notes the importance of honestly
examining data to make decisions, he also states that leaders must pay close attention to the leaders and people who will be part of the change. Kouzes and Posner (2012) stress the importance of modeling the way, inspiring a shared vision, challenging the process, encouraging the heart, and enabling others to act, all valuing the need for leaders to address change as a personal experience. Marzano, Waters, and McNulty (2005) cite 21 responsibilities of school leaders, while noting specific traits that impact change. Further, Reeves (2002) denotes school leadership qualities, inclusive of both effective management skills and open communication skills that are measurable and attributable to student achievement. These authors identify consistent elements for facilitating a culture shift in an educational system.

Four Frames of Leadership

Only in the last half century have social scientists devoted time and attention to developing ideas about how organizations work, how they should work, or why they often fail. In the social sciences, several major schools of thought have evolved. Each has its own concepts and assumptions, championing a particular view of how to bring the social collective under control. Bolman and Deal (2008) sifted through various competing voices in their book, Reframing organizations: Artistry, choice, and leadership. The work they produced did not identify a single leadership strategy. Rather, they “consolidated major schools of organizational thought into a comprehensive framework encompassing four perspectives,” with a goal of usable knowledge. They sorted their research into four major frames—structural, human resource, political, and symbolic (pp. 14-15).

Structural frame of leadership. Drawing from sociology, economics, and management science, the structural frame of leadership depicts a rational world and
emphasizes organizational architecture, including goals, structure, technology, specialized roles, coordination, and formal relationships. Structures, commonly depicted by organization charts, are designed to fit an organization’s environment and technology. Organizations allocate responsibilities. They then create rules, policies, procedures, systems, and hierarchies to coordinate diverse activities into a unified effort. Problems arise when structure does not line up well with current circumstances. At that point, some form of reorganization or redesign is needed to remedy the mismatch (Bolman & Deal, 2008).

**Human resource frame of leadership.** The next frame of leadership focuses on interpersonal relationships. The human resources frame, rooted in psychology, sees an organization as an extended family, made up of individuals with needs, feelings, prejudices, skills, and limitations. From a human resources view, the key challenge is to tailor organizations to individuals, finding ways for people to get the job done while feeling good about themselves and the work that was done (Bolman & Deal, 2008).

Employers must invest time and resources necessary to develop a cadre of committed, talented people who feel as though his/her needs within the organization are being met. A skilled and motivated workforce is a powerful source of strategic advantage. Consistent with core human resource assumptions, high-performing organizations do a better job of understanding and responding to the needs of both employees and customers. As a result, they attract better people who are motivated to do a superior job (Bolman & Deal, 2008).

The human resource frame highlights the relationship between people and organizations. Organizations need people and people need organizations, but the
respective needs of the two parties are not always well aligned. When the fit between people and organizations is poor, one or both suffer: individuals may feel neglected or oppressed, and organizations sputter because individuals withdraw the efforts out forth or even work against organizational purposes. Conversely, good fit benefits both: individuals find meaningful and satisfying work, and organizations get the talent and energy they need to succeed (Bolman & Deal, 2008).

**Political frame of leadership.** The political frame of leadership places organizations as arenas, contests, or jungles. Parochial interests compete for power and scarce resources. Conflict is rampant because of enduring differences in needs, perspectives, and lifestyles among contending individuals and groups. Bargaining, negotiation, coercion, and compromise are a normal part of everyday life. Coalitions form around specific interests and change as issues come and go. Problems arise when power is concentrated in the wrong places or is so broadly dispersed that nothing gets done. Solutions arise from political skill and acumen (Bolman & Deal, 2008).

The aforementioned assumptions of the political frame explain why organizations are inevitable political. A partnership forms because of the various interconnections created amongst its stakeholders; they need one another, even though shared interests may only partly overlap. The assumption of enduring differences implies that political activity is more visible and dominant under conditions of diversity than of homogeneity. Agreement and harmony are easier to achieve when everyone share similar values, beliefs, and cultural ways (Bolman & Deal, 2008).

From a political perspective, conflict is not necessarily a problem or a sign that something is amiss. Organizational resources are in short supply; there is rarely enough to
give everyone everything they want. Individuals compete for jobs, titles, and prestige. Departments compete for resources and power. Interest groups vie for policy concessions. Conflict is normal and inevitable. According to Bolman and Deal (2008), it is a natural by-product of collective life. The leadership challenge is to recognize and manage conflict. Like other forms, it can be productive or debilitating. One of the most important tasks of unit managers or union representatives is to be a persuasive advocate for a group in a political field that has many competing interests. The question is not whether organizations are political but what kind of politics they will encompass. Political dynamics can be sordid and destructive, but politics can also be a vehicle for achieving noble purposes.

**Symbolic frame of leadership.** The symbolic frame of leadership, drawing on social and cultural anthropology, treats organizations as temples, tribes, theatres, or carnivals. It abandons assumptions of rationality prominent in other frames and depicts organizations as cultures, propelled by rituals, ceremonies, stories, heroes, and myths rather than rules, policies, and managerial authority. Bolman and Deal (2008) believe that within the symbolic frame of leadership, the organization is theatre: actors play roles in the drama while audiences form impressions from what they see on stage. Problems arise when actors do not play the parts appropriately, symbols lose meaning, or ceremonies and rituals lose potency (Bolman & Deal, 2008).

The symbolic frame sees life as figurative more serendipitous than linear. Organizations are like constantly changing, organic pinball machines. Issues, actors, decisions, and policies carom through an elastic labyrinth of cushions, barriers and traps. Moreover, symbols can take many forms in organizations. Myth, vision, and values
imbue an organization with purpose and resolve. Heroes and heroines, through words and deeds, serve as living logos. Fairy tales and stories tender explanations, reconcile contradictions, and resolve dilemmas. Rituals and ceremonies offer direction, faith, and hope. Metaphor, humor, and play loosen things up (Bolman & Deal, 2008).

According to Bolman and Deal (2008), multi-frame thinking is challenging and often counterintuitive. To see the same organization through the identified frames of structure, human resource, politics, and symbols, requires the capacity to think in different ways at the same time about the same thing. Leaders fail when they take too narrow a view. Unless they can think flexibly and see organizations from various angles, they will be unable to deal with the full range of issues they inevitable will encounter.

Organizational leaders need to become pioneers who embrace the fundamental values of human life and the human spirit. They need to be playful theorists who can see organizations through a complex prism. They need to become negotiators who are able to design resilient strategies that simultaneously shape events and adapt to changing circumstances, and they need to understand the importance of knowing and caring for themselves and the people with whom they work (Bolman & Deal, 2008).

Sources of Authority

Sergiovanni (1992) poses the following questions, “Which style (of leadership) is better - warm or cold, autocratic or democratic, task or relationship, directive or participatory, initiating structure or consideration, production emphasis or personal emphasis? When is it best to tell, sell, participate and delegate” (p. 2)? Considering the complexity of leadership, there is no cookie cutter approach to managing an organization
that is befitting for all schools. School administrators must master the art of leading in a manner in which subordinates are motivated to follow.

Sergiovanni and Starratt (2007) describe authority as “the power that is used to influence how teachers think and what teachers do about teaching and learning” (p. 25). They believe that the success or failure of an administrator is contingent on how well the administrator strategically matches the appropriate source of authority with the circumstances of which she is dealing. They maintain that authority derived from leadership can be classified into five categories or what they consider sources: Bureaucratic Authority, Psychological Authority, Technical-Rational Authority Professional Authority, and Moral Authority. These authorities are distinguished by their individualized characteristics.

**Bureaucratic source of authority.** The first source of authority for leadership, according to Sergiovanni (1992), is entitled bureaucratic authority. Bureaucratic authority exists in the form of mandates, rules, regulations, job descriptions, and expectations. This source of leadership is based within a pre-determined hierarchy of rules and regulations which formally define the capacity of leadership within the system. Consider the notion that leadership within the bureaucratic source of authority is established through mandates and defined roles. Stakeholders comply or face consequences for not adhering to system expectations (Sergiovanni, 1992).

Based on the work of Sergiovanni (1992), within the bureaucratic source of authority, stakeholders who are integral to the system are hierarchically placed and defined. On a macro level, a major divide exists between those that lead the system and those who are considered subordinates within the system. Within this divide, supervisors
are inherently trustworthy. Subordinates, on the other hand, are not considered trustworthy. This is because the goals and interests of the subordinates and the supervisors are not the same. Thus, supervisors must be routinely mindful of the subordinates and the efforts put forth within the system. Moreover, the bureaucratic source of authority defines levels of expertise through the established hierarchy. Sergiovanni (1992) states that supervisors within the bureaucratic source of authority know more than subordinates, thus they are determined to be the experts.

External accountability is the basis for motivation within this source of authority, thus expectations are made clear to the subordinates and routine inspections for compliance toward the expectations are completed. Through the compliance inspections, subordinates are expected to reach and maintain established standards for performance. If it becomes apparent, through the expertise of the supervisor, that the subordinates require training to either meet the defined expectations or to become proficient within a newly created set of expectations, then it is the role of the supervisor to inservice the subordinates to increase their base of knowledge. The result of successfully implementing this source of authority is that the performance and work focus of the subordinates becomes narrowed through execution of clearly defined work scripts (Sergiovanni, 1992).

According to Sergiovanni (1992), there is little difficulty in accepting the assertion that bureaucratic leadership is overemphasized in schools. Few believe that most teachers are not trustworthy and do not share the same goals and interests as administrators do. Even fewer would accept the idea that hierarchy equals expertise. Maybe that is why much of school leadership relies on expect and inspect, predetermined standards, inservice, and direct supervision. Those assumptions also explain why school administrators seen to spend so much time trying to figure out how to motivate teachers, and what change strategies to use in making them do things differently. (p. 32)
Table 1

*Bureaucratic Authority for Leadership*

| Bureaucratic Authority | • Hierarchy  
|                        | • Rules and Regulations  
|                        | • Mandates  
|                        | • Role Expectation  
|                        | • Teachers comply or face consequences |
| Assumptions When Use of This Source is Primary | • Teachers are subordinates in a hierarchically arranged system  
|                                                         | • Supervisors are trustworthy, but subordinates are not  
|                                                         | • Goals and interests of teachers and supervisors are not the same, and supervisors must be watchful  
|                                                         | • Hierarchy equals expertise, and so supervisors know more than teachers do  
|                                                         | • External accountability required |
| Leadership/Supervisory Strategy | • “Expect and inspect” is the overarching rule  
|                                             | • Rely on predetermined standards, to which teachers must measure up  
|                                             | • Identify their needs and “inservice” them  
|                                             | • Directly supervise and closely monitor the work of teachers, to ensure compliance  
|                                             | • Figure out how to motivate them and get them to change |
| Consequences | • With the proper monitoring, teachers respond as technicians, executing predetermined scripts, and their performance is narrowed |

*Source: Sergiovanni, 1992, p. 36.*

**Psychological source of authority.** Sergiovanni (1992) stated that an alternate source of authority might be, “follow me because I will make it worth your while if you do” (p. 30). “Sometimes perceived as the most popular way to get things done in educational systems, psychological authority is expressed in the form of motivation technology, coupled with both interpersonal skills and human relations” (pp. 30 & 36).
Within this source of authority, stakeholder groups comply because of the establishment of a congenial environment combined with both intrinsic and extrinsic rewards.

As a result of the focus on human relations, the unconnected goals and interests of both the stakeholders and the leadership can be bartered so that each side gets what it wants by means of a reward. Specifically for system stakeholders, if the needs that stakeholders groups have to operate within the system are met, then the work will be done as required. Supervisors accomplish this by establishing and maintaining congenial relationships with stakeholders that produce a harmonious interpersonal climate.

Stakeholders in turn feel content, recognizing that the environment is conducive to their needs, and are more apt to collaborate. “However, supervisors must be experts in both the ability to read stakeholder needs and in the treatment of people in order to successfully barter for compliance and increased performance” (Sergiovanni, 1992, p. 36).

To successfully implement this source of authority, leaders will develop a system climate that is characterized by high congeniality amongst stakeholders and then between the various stakeholder groups and the supervisors. Supervisors must make clear the expectations for the success of the system. In turn, rewards, both intrinsic and extrinsic, are provided. Within the system, “what gets rewarded gets done” (Sergiovanni, 1992, p. 37). When the psychological source of authority is properly administered, stakeholders positively respond when their needs are met through both intrinsic and extrinsic rewards but not otherwise. Consequently, their involvement is calculated to meet conditions for the reward and thus, performance is narrowed (Sergiovanni, 1992).

Sergiovanni (1992) stresses that
psychological leadership is overdone, and that relying excessively on psychology as a source of authority has negative consequences for teachers and students. Most school administrators tend to see knowledge and skill about how to motivate, apply the correct leadership style to boost morale, and engineer the interpersonal climate as representing the heart of what school administration is – the core technology of the educational administration profession. After all, these are the concerns that typically dominate school administration curricula, loom large on lists of administrative proficiencies, and are highly prized when administrators are hired. The fact that psychologically based leadership is important is not to be challenged, but that it should enjoy such prominence is challenged. (p. 33)

**Technical-rational source of authority.** Another source of authority exists in the form of evidence, derived from logic and scientific research, guiding leadership. It is based on the practice of deeply understanding teacher effectiveness and/or school effectiveness. The success of technical-rational authority results in stakeholder groups responding to expectations because the knowledge and conditions that established the expectations is considered to be true (Sergiovanni, 1992).

The technical-rational source of authority is founded in a belief that supervision and teaching are applied sciences. However, the base of knowledge and research that feeds the aforementioned sciences is privileged. Possessing that base of knowledge is considered superordinate to the actual application of the knowledge. Stakeholder groups, specifically teachers, are the skilled technicians who apply the knowledge and strive to possess it. Conversely, values, preferences, and beliefs created through application of the technical-rational source of authority are not appreciated, but facts and objective evidence are prized (Sergiovanni, 1992).
Table 2

*Psychological Authority for Leadership*

| Psychological Authority | • Motivation technology  
|                         | • Interpersonal skills  
|                         | • Human relations  
|                         | • Leadership  
|                         | • Teachers will want to comply because of the congenial climate and rewards  
| Assumptions When Use of This Source is Primary | • The goals and interests of teachers and supervisors are not the same but can be bartered so that each side gets what it wants  
| | • Teachers have needs, and if they are met at work, the work gets done as required  
| | • Congenial relationships and a harmonious interpersonal climate make teachers content, easier to work with and more apt to cooperate  
| | • Supervisors must be experts in reading needs and in other people-handling skills, to barter successfully for compliance and increases in performance  
| Leadership/Supervisory Strategy | • Develop a school climate characterized by high congeniality among teachers and between teachers and supervisors  
| | • “Expect and reward”  
| | • “What gets rewarded gets done”  
| | • Use psychological authority in combination with bureaucratic and technical-rational authority  
| Consequences | • Teachers respond as required when rewards are available, but not otherwise; their involvement is calculated and performance is narrowed  

*Source:* Sergiovanni, 1992, p. 36.

When the technical-rational source of authority is applied, leaders will use research to identify best practice. Then they standardize the work of teaching to reflect the best practice and inservice teachers accordingly. With proper monitoring, teachers respond as technicians within this source of authority, executing predetermined steps that
are rooted in both research and best practice. However, performance is again narrowed (Sergiovanni, 1992).

Proposing that a psychologically based leadership practice is dysfunctionally overplayed in schools may raise concerns but suggesting that technical rational authority is equally dysfunctional may be considered heresy. After all, we live in a society where what is scientific is prized. Given our deference to science, our first glance at the assumptions and related practices underlying the authority of technical rationality is likely to elicit a nod of agreement. But teaching and learning are too complex to be captured so simply. In the real world, none of those assumptions holds up very well, and the related practices portray an antiseptic view of teaching, supervision, and school leadership. (Sergiovanni, 1992, p. 35)

Teaching cannot be standardized. Like other professionals, teachers cannot become effective by following scripts. Instead, they need to create knowledge in use as they practice – becoming skilled surfers who ride the wave of the pattern of teaching. This ability requires a higher level of reflection, understanding, and skill than that offered in the guise of technical rational authority (Sergiovanni, 1987).

**Professional source of authority.** Sources of authority can also come in the form of seasoned craft knowledge, combined with personal expertise. Professional authority is the first source of authority mentioned to be developed from within the stakeholder groups rather than being imposed as a management framework. This source of authority is built upon common socialization, professional accepted tenets of practice, and internalized expertise (Sergiovanni, 1992).
Within professional authority is the recognition that situations of professional practice are idiosyncratic. In essence, behaviors, thoughts, or feelings created as a result of immersion within the system are unique to the individual. Specifically, scientific and professional knowledge are considered different within this source of authority. This occurs because professional knowledge is the unique and individualized application of scientific knowledge, which is only meant to inform, not prescribe practice (Sergiovanni, 1992).

Table 3

Technical-Rational Authority for Leadership

<table>
<thead>
<tr>
<th>Technical-rational Authority</th>
<th>Assumptions When Use of This Source is Primary</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Evidence defined by logic and scientific research</td>
<td>• Supervision and teaching are applied sciences</td>
</tr>
<tr>
<td>• Teachers are required to comply in light of what is considered to be the truth</td>
<td>• Knowledge of research is privileged</td>
</tr>
<tr>
<td></td>
<td>• Scientific knowledge is superordinate to practice</td>
</tr>
<tr>
<td></td>
<td>• Teachers are skilled technicians</td>
</tr>
<tr>
<td></td>
<td>• Values, preferences, and beliefs do not count, but facts and objective evidence do</td>
</tr>
<tr>
<td>Leadership/Supervisory Strategy</td>
<td>• Use research, to identify best practice</td>
</tr>
<tr>
<td></td>
<td>• Standardize the work of teaching, to reflect best way</td>
</tr>
<tr>
<td></td>
<td>• “Inservice” teachers in the best way</td>
</tr>
<tr>
<td></td>
<td>• Monitor the process, to ensure compliance</td>
</tr>
<tr>
<td></td>
<td>• Figure out ways to motivate and change them</td>
</tr>
<tr>
<td>Consequences</td>
<td>• With proper monitoring teachers respond as technicians, executing predetermined steps; performance is narrowed</td>
</tr>
</tbody>
</table>

Source: Sergiovanni, 1992, p. 36.
Professional practice becomes collective for stakeholder groups that subscribe to the professional source of authority as their primary source. They require little monitoring and their performance becomes expansive as teachers are offered discretion to determine what they want and need. Moreover, teachers begin to hold one another accountable for meeting professional standards. System leaders need only make assistance, support, and professional development opportunities available and the stakeholder groups will make appropriate usage of the resources (Sergiovanni, 1992).

While technical-rational authority for leadership practice has some similarity to the authority of professionalism, technical-rational authority assumes that the expertness of knowledge itself is primary, and that such knowledge exists apart from the context of application: the job of the teacher is simply to apply knowledge to practice, and the teacher is subordinate to the knowledge base of teaching. (Sergiovanni, 1992, p. 35)

Professional authority as a basis for leadership assumes that the expertise of teachers is what counts most. Knowledge does not exist apart from teacher and context, and so teachers are always superordinate to the knowledge base. They use knowledge metaphorically, to inform but not to prescribe practice. In the professions, knowledge of theory and research is not considered privileged, and what counts is also what is thought right and good. When there is conflict, knowledge yields. Professional authority is a very powerful force for governing what teachers do. (Sergiovanni, 1992, pp. 35 & 41)

**Moral source of authority.** Collective duty and obligation towards a system widely shared values, ideas, and beliefs define the fifth and final source of authority referred to as moral authority. Schools are professional learning communities and within the professional community what is considered right and good is as important as what works and what is effective. Members of the community are motivated as much by emotions and beliefs as by self-interest. For example, collegiality is considered a professional virtue with this source of authority (Sergiovanni, 1992).
Stakeholder groups strive to make explicit the values and beliefs that will define the school as a professional community and then work to translate them into informal norms that govern the behavior of the group. When leadership within the system is rooted

| Professional Authority | • Informed craft knowledge and personal expertise  
|                        | • Teachers respond in light of common socialization, professional values, accepted tenets of practice, and internalized expertise |
| Assumptions When Use of This Source is Primary | • Situations of practice are idiosyncratic, and no one best way exists  
|                                                      | • Scientific knowledge and professional knowledge are different, with professional knowledge created in use as teachers practice  
|                                                      | • The purpose of scientific knowledge is to inform, not prescribe, practice  
|                                                      | • Authority cannot be external but comes from the context itself and from within the teacher  
|                                                      | • Authority from context comes from training and experience  
|                                                      | • Authority from within comes from socialization and internalized values |
| Leadership/Supervisory Strategy | • Promote a dialogue among teachers that explicitly states professional values and accepted tenets of practice  
|                                                      | • Translate them into professional standards  
|                                                      | • Give teachers as much discretion as they want and need  
|                                                      | • Require teachers to hold one another accountable for meeting practice standards  
|                                                      | • Make assistance, support, and professional development opportunities available |
| Consequences | • Teachers respond to professional norms; their practice becomes collective, they require little monitoring, and their performance is expansive |

in moral authority, stakeholder groups can be expected to respond to shared commitments and felt interdependence. Their professional practice as a group becomes collective, and their performance is expansive and sustained (Sergiovanni, 1992).

The leader that believes that his/her position, along with the structure of the organization compels stakeholders to follow him relies on Bureaucratic Authority. The leader that utilizes a bartering system and believes that extrinsic rewards will motivate scientific research to justify why teachers follow him depends on Technical-Rational Authority. The leader that believes training and experience trumps scientific research relies on Professional Authority. The leader that is able to cultivate a community of educators that feel a sense of duty and obligation to practice the values established by the organization relies heavily on Moral Authority.

It is possible for a leader to assume more than one source of authority at a time or to practice several sources on the needs of the organization at the time. The leader that is aware of his primary sources of authority can better understand how her leadership style influences the organization, the assumptions of that source, and the potential consequences associated with it. He can also understand how his leadership style communicates his priorities for the organization to all stakeholders.
Table 5

*Moral Authority for Leadership*

| Moral Authority | • Felt obligation and duties derived from widely shared community values, ideas and ideals  
|                | • Teachers respond to shared commitments and felt interdependence |
| Assumptions When Use of This Source is Primary | • Schools are professional learning communities  
|                | • Communities are defined by their centers of shared values, beliefs, and commitments  
|                | • In communities, what is considered right and good is as important as what works and what is effective; people are motivated as much by emotion and beliefs as by self-interest; and collegiality is a professional virtue |
| Leadership/Supervisory Strategy | • Identify and make explicit the values and beliefs that define the center of the school as a community  
|                | • Translate them into informal norms that govern behavior  
|                | • Promote collegiality as internally felt and morally driven interdependence  
|                | • Rely on the ability of community members to respond to duties and obligations  
|                | • Rely on the community’s informal norms to enforce professional and community values |
| Consequences | • Teachers respond to community values for moral reasons; their practice becomes collective, and their performance is expansive and sustained |


For purposes of this study, Kotter’s eight steps for change and Sergiovanni’s sources of authority will serve as the lens to determine the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident. Each interview will include a series of questions which first determine if a particular step was followed. Then follow-up probes
will be asked to identify which of Sergiovanni’s sources of authority were used to provide the leadership to complete the identified step.
CHAPTER III

RESEARCH METHODOLOGY

Introduction

This phenomenological study used interviews conducted with the superintendent of the educational system and a minimum of three additional stakeholders from two separate educational systems. Each educational system experienced a unique scandalous critical incident in one of the two categories; deception, and sexual transgression. In this chapter, the researcher described the methods used to explore the words and actions two superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident. This description included the study’s design, setting, sample, instrumentation, data collection and analysis procedures, and ethical precautions.

Justification for Qualitative Research Design

Four research questions guided this study:

1. According to the perceptions of district stakeholders, what words and actions did superintendents use to lead an educational system through a culture shift following the occurrence of a scandalous critical incident?

2. According to Kotter’s eight steps for change, what steps did superintendents accomplish to lead an educational system through a culture shift following the occurrence of a scandalous critical incident?
3. According to Sergiovanni’s five sources of authority, what sources of authority did superintendents use to lead an educational system through a culture shift following the occurrence of a scandalous critical incident during each of Kotter’s eight steps for change?

4. What are the implications to educational leadership identifying the best practices for leading an educational system through a culture shift following a scandalous critical incident has occurred?

The research questions designed to probe the experiences of educational system stakeholders who were led through a culture shift following the occurrence of a scandalous critical incident, dictated a qualitative research design. Merriam (2000) described qualitative research as “having an interpretive or naturalistic approach that focuses on meaning in context, an approach necessitating the engagement of humans (as opposed to statistical packages and other software) for collecting and analyzing data” (p. 1).

Qualitative research provides a way to understand the meaning gained from an experience through an inductive, theory-building approach rather than a deductive, testing mode of inquiry (Merriam, 2000). Creswell (2003) stated that qualitative research (a) is based on individuals interacting with their social worlds; (b) uses the researcher as the primary instrument for data collection and analysis; (c) typically involves field work; and (d) is primarily inductive in that it involves constructing research abstractions, concepts, and hypotheses.

A specific form of qualitative research is phenomenology, which is rooted in the work of Edmund Husserl, who was critical of researchers who attempted to apply
scientific research methods to human issues (Laverty, 2003). Husserl (1970) argued that human beings should be studied differently than either abstract concepts or animals, noting that humans do not simply respond to stimuli but also to their perceptions of what the stimuli mean (Laverty, 2003). Moustakas (1994), who acknowledged his debt to Husserl, described phenomenological research as providing an opportunity to examine and create new knowledge regarding “everyday human experiences, human behavior, and human relations” (p. xiv). In evaluating potential methods for this study, four qualitative inquiry traditions will be considered: ethnography, grounded theory, hermeneutics, empirical phenomenology, and heuristics.

**Ethnography**

Ethnography is qualitative study involving extensive field work (Moustakas, 1994) and “writing about groups of people” (Creswell, 2003, p. 435). Both Creswell (2003) and Moustakas (1994) described ethnographic research as the study of a group’s shared patterns of behavior, values, beliefs, and language over time. Creswell (2003) stated that ethnographic research is appropriate when the researcher has long-term access to the research group, noting those observing participant’s environment, including where they live and work, is standard, in addition to interviews.

Ethnography was considered for this study but rejected. Some participants, who were stakeholders through the culture shift process, may no longer work for the educational system, so observing them in their original environment is no longer possible. Moreover, ethnography may have served as a potential approach if this study had been conducted during the time of the culture shift rather than after it had occurred. Finally,
the goal of this study was to compare individual’s experiences rather than to study them as a group.

**Grounded Theory**

Grounded theory attempts to provide a general explanation for a process, social event, or action (Creswell, 2003). Hatch (2002) described grounded theory as developing procedures to collect and analyze data using rigorous and systematic methods that require repeated confirmation of emerging patterns. Moustakas (1994) described it as an unraveling of the “elements of experience” (p. 4) and a study of their interrelationships, out of which a theory emerges that helps a researcher better understand the phenomena being studied. Grounded theory was not selected because the goal of this research is not to generate a theory but to examine the lived experiences of people who participated in a culture shift.

**Hermeneutics**

Moustakas (1994) described hermeneutic science as “the art of reading a text so that the intention and meaning behind appearances are fully understood” (p. 9). In the field of art, a hermeneutical approach would involve viewing and analyzing an art object in light of its history and style. Hermeneutics typically considers historical, literary, or artistic accounts of a phenomenon. As such, it is not considered appropriate for the current study, for which documentation will be limited to administrative records.

**Empirical Phenomenology**

Empirical phenomenology, which originated at Duquesne University, privileges a researcher’s reflection on participants’ descriptions of their experiences (Moustakas, 1994). An empirical phenomenological approach will not be appropriate for this study.
because the researcher was not involved in any of the culture shifts that took place under this study.

**Research Design**

Given the nature of this study and its emphasis on participants’ lived experiences, a transcendental phenomenological method was the best approach. Moustakas (1994) described phenomenology as “knowledge as it appears to consciousness, the science of describing what one perceives, senses, and knows in one’s immediate awareness and experience” (p. 26). Transcendental phenomenology is based on the conviction that empiricism cannot capture many critical aspects of human experience and perception. In examining organizational change, which involves shifting perceptions and relationships, trying to assess the nuances of perceived reality is more appropriate than looking for supposedly objective data.

Moustakas (1994) enumerated seven habits of mind that distinguish human science research from natural science research:

1. Recognizing the value of qualitative designs and methodologies: studies of human experiences that are not approachable through quantitative approaches.
2. Focusing on the wholeness of experience rather than solely on its objects or parts.
4. Obtaining descriptions of experience through first-person accounts in interviews.
5. Regarding the data of experience as imperative for understanding human behavior and as evidence for scientific investigations.
6. Formulating questions and problems that reflect the interest, involvement, and personal commitment of the researcher.
7. Viewing experience and behavior as an integrated and inseparable relationship of subject and object representing parts of the whole. (p. 21)
Transcendental phenomenology provided a systemic approach for analyzing lived experiences. The method allowed this researcher to “develop an objective essence through aggregating subjective experiences of a number of individuals” (Moerer-Urdahl & Creswell, 2004, p. 89). It was useful when a phenomenon could be clearly defined and individuals are available for interviews. Transcendental phenomenology enabled one to pose both what and how questions (Moerer-Urdahl & Creswell, 2004). Data collection drew on stories told in participants’ own voices rather than the researcher’s (as in the empirical phenomenological tradition) or from textual data or pictures (as in the hermeneutic tradition).

Moustakas (1994) described transcendental phenomenology as a “scientific study of the appearance of things,” (p. 49), noting that the “very appearance of something makes it a phenomenon” (p. 49). Husserl (1970) believed that in order to conduct a transcendental phenomenological study, the researcher needs to assume the transcendental attitude, which Giorgi (2009) described as “looking at objects from the perspective of how they are experienced regardless of whether or not they are the way they are being experienced” (p. 88). Giorgi gave an example of observing a child who believes a department store Santa Claus to be real. From a transcendental phenomenological perspective, the observer’s own beliefs about Santa Claus are irrelevant. What matters is what the participant believes.

For Moustakas (1994), transcendental phenomenology “utilizes only data available to consciousness—the appearance of objects” (p. 45) and is transcendental “because it adheres to what can be discovered through reflection on subjective acts and their objective correlates” (p. 45). Transcendental phenomenology emphasized the whole
experience and did not dichotomize into subject and object. This approach required that a researcher set aside any preconceived notions or judgments through a process that Moustakas (1994) describes as epoche.

This phenomenological study will explored the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident. Through individual interviews, knowledge was gained regarding how to navigate a cultural shift in an educational system and the sources of authority associated with each stage of the cultural shift. From the interview data, common experiential themes became apparent, notable marker events were determined, and lessons for other leaders who are challenged with a scandalous critical incident were learned. Gathering raw data from participants’ descriptions was only the first part of the process, one requiring intense listening and probing of participants’ responses to gather as much detail about the experience as possible. The second part of the process, according to Moustakas (1994), was to describe the experience or phenomenon in terms of group commonalities and seek “general or universal meanings” (p. 13). Finally, the researcher will provide leaders with some lessons to consider when attempting a cultural shift after the occurrence of a scandalous critical incident.

**Population and Sample**

According to Moustakas (1994), there are no set criteria for selecting participants in a qualitative study, but typical considerations included demographic, political, and economic status. In this phenomenological study, it was imperative that participants experienced the phenomena being studied and were willing to participate in the study, including a willingness to have the interview recorded and the results published.
For purposes of this study, an analysis of media sources, specifically journalistic print media via either microfilm or electronic newspaper databases, yielded between fifteen educational systems that experienced a scandalous critical incident within the years 2008 and 2012 in the Midwest region of the United States. Two were selected based on a match to the categories of deception, and sexual transgression. The timeframe mentioned allowed for participants to share both their experiences of the scandalous critical incident and the effect the incident had on the culture of the system. Also, it allowed for enough time to have passed to determine the words and actions that a superintendent used to lead a culture shift following the occurrence of the scandalous critical incident.

The researcher then contacted each educational system to determine their willingness to participate in the study. When two educational systems were selected, a minimum of four stakeholders from the system were identified to be interviewed. The four members from each system were identified in partnership with the superintendent, who was included as one of the four participants and was identified as superintendent in the data. Participants were active in the system when the scandalous critical incident occurred, as well as the two year period following the scandalous critical incident to have experienced the culture shift led by the superintendent.

The two superintendents interviewed were the leaders who both served in the role when the scandal occurred and lead the educational system through a culture shift following the occurrence of a scandalous critical incident.

Two educational systems participated in this study. A minimum of three stakeholders and the superintendent of each educational system ensured a baseline
sample size of four participants. Four participants from each of the three educational systems provided a minimum of eight separate semi-structured interviews. However, through the course of the interview protocols, consideration was given to other stakeholders who were brought to the attention of the researcher as a possible source of additional information to address the proposed research questions. Additional interviews were to be conducted until no new generalizable themes are apparent.

Merriam (2000) described two types of sampling procedures in qualitative research: probability and nonprobability. Probability (or random) sampling allows one to generalize results to the population from which the sample was taken. If generalization is not the goal, nonprobabilistic sampling is more typical and will be the technique used in this study. One form of nonprobabilistic sampling is purposive, which assumes a desire to discover something specific in the sample population. Purposive sampling is used when “researchers intentionally select individuals and sites to learn or understand the central phenomenon” and can apply both to sites and individuals (Creswell, 2003, p. 204).

Instrumentation

Data was collected through individual interviews using an instrument created for this study (see Appendix A & Appendix D). The instrument was informed by Kotter’s eight steps for change model and Sergiovanni’s five sources of authority. Specifically, each of the questions in the protocols included a question to determine if Kotter’s eights steps for change were utilized and then subsequent probes were asked to determine which source of authority was used during the step for change.

The instrument for stakeholders who were not the superintendent of the educational system, Appendix A, consisted of nine open-ended questions, along with
follow-up probing questions to encourage participants to describe their experiences during the change process. The instrument for superintendents consisted of similar open-ended question. However, the questions had been slightly altered to account for the superintendents experiences (see Appendix D).

**Role of the Researcher**

The researcher served as the sole investigator for the study. Because the researcher is a licensed superintendent in the State of Illinois, with formal training in educational system change strategies, he undertook the phenomenological process of epoche, bracketing his own ideas and philosophies about the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident in order to become a neutral figure in the research (Moustakas, 1994).

**Data Collection**

Data collection consisted of in-depth interviews of ten participants using the criteria described above. The researcher conducted in-depth interviews (see Appendix A & Appendix D) with educational system stakeholders who were both present and participated in a culture shift, led by a superintendent following the occurrence of a scandalous critical incident. A pilot study of the interview protocol was conducted with research colleagues. Suggestions included substantive changes to the structure of the questions and to the sequence in which questions were posed. Moreover, additional probing questions were crafted for the interviews and time will be allotted for summarizing impressions and field notes immediately after each interview.
Interviews followed the responsive style, which Rubin and Rubin (2005) described as follows: (a) the interview focused on interviewees’ interpretations of their experiences, (b) the interview depended on the relationship (even if temporary) between interviewee and interviewer, (c) the fact that private information may be divulged created serious ethical obligations for a researcher, (d) interviewers were careful to not impose their opinions or perspectives on interviewees, and (e) interviewers were flexible and ready to change course during the interview. Data collection for the final study proceeded as follows:

1. Reviewed both print media and the internet for two educational systems which have experienced a scandalous critical incident in the past seven years specific to deception or sexual transgressions.
2. Contacted the current superintendent of the two identified educational systems and gauged the willingness of the educational system to participate in the research.
3. Identified potential respondents who participated in a culture shift in the two identified educational systems from beginning to end. These respondents were a combination of superintendents, assistant superintendents, directors, coordinators, principals, school resource officers, and department chairs.
4. Sent potential respondents information about the study and interview process (see Appendix B & Appendix E).
5. Invited selected individuals and cooperating superintendents for interviews and supplied an informed consent form (see Appendix C & Appendix F) that provided an introduction to the study, purpose, procedures, possible risks,
possible benefits, rights to withdraw, overview of privacy of research records, and e-mail addresses and telephone numbers for questions about the study, including the Loyola IRB officer, the dissertation committee chair, and myself.

6. Traveled to two separate sites to conduct interview protocols.

7. Face-to-face interviews were proctored at each site.

8. Audio recordings were completed digitally and then transcribed. Pseudonyms were used in place of participant names and district names.

9. The researcher sent a copy of the completed study to participants upon request.

Data Analysis

Upon completion of each interview, the researcher summarized his field notes, which served as a reflection of the interview. The researcher then employed a transcriber who transcribed the digital recordings. Once the researcher received the transcripts, he sent them to participants for review and correction. After receiving confirmed transcripts from participants, he loaded them into NVivo 10 for coding.

The researcher began data analysis by engaging in epoche, described by Moustakas (1994) as placing all beliefs, theories, and assumptions in the background of awareness in order to create openness and objectivity and facilitating “the suspension of everything that interferes with fresh vision” (p. 86). For data analysis, he followed these steps, which are adopted from Moustakas (1994):

1. List every expression relevant to the experience (horizontalization).
2. Reduce and eliminate to determine invariant constituents. Test each expression for two requirements: (a) Does it contain a moment of the experience that is a necessary and sufficient constituent for understanding it? (b) Is it possible to abstract or label it? If so, it is a horizon experience. Expressions not meeting
the above requirements are eliminated or presented in more exact descriptive terms. The horizons that remain are the invariant constituents of the experience.

3. Cluster the invariant constituents of the experience and assign them a thematic label. The clustered and labeled constituents are the core themes of the experience.

4. Check the invariant constituents and their accompanying theme against the complete record of the research participant. Are they expressed explicitly in the complete transcription? Are they compatible, if not explicitly expressed? If they are not explicit or compatible, they are not relevant to the participant’s experiences and should be deleted.

5. Using the validated invariant constituent themes, develop textural descriptions of the experience, including verbatim examples from transcripts.

6. Construct an individual textural description and imaginative variation for each participant.

7. Construct a textural-structural description of the meaning and essence of each participant’s experiences, incorporating the invariant constituents and core themes. (pp. 120-121)

The final stage of data analysis involved Moustakas’s (1994) imaginative variation process, which has a researcher explore “possible meanings through the use of imagination,” which may include changing the frame of reference, using polarities and reversals, and examining the phenomenon from different viewpoints (p. 97). Based on Moustakas’s model, the following steps will be used to facilitate this process:

1. Create structural descriptions from individual textural descriptions in order to identify structural meanings that underlie the textural meanings.

2. Identify underlying themes that account for the emergence of the phenomena.

3. Consider other structures and factors that may contribute to the phenomenon, including “time, space, bodily concerns, materiality, causality, relation to self, or relation to others” (p. 99).

4. Identify “exemplifications that vividly illustrate the invariant structural themes” and help create a structural description of the phenomenon. (p. 99)

The researcher used the qualitative software package NVivo 10 to code interview responses and categorize data into persistent themes, identifiable superintendent actions, and determine word frequency. He work inductively to develop a statement about the words and actions a superintendent takes to lead an educational system through a culture
shift following the occurrence of a scandalous critical incident based on a composite of the participants individual descriptions. The final stage of data analysis involved an iterative process of review and continued refinement until the researcher was confident that the main conclusions had been determined.

**Ethical Protection of Participants**

Protecting the anonymity of participants in this study was a primary concern. Given the sensitivity of some interview questions, it was possible that participants may not have provided a full account of their experiences if they were not assured of anonymity. Anonymity was accomplished by assigning random pseudonyms to participants.

Prior to interviews, participants were provided a description of the research project, including benefits and risks, and they were asked to sign an informed consent form. Participants were told that they can withdraw from the study at any time. Participants were provided a copy of their interview transcript and an opportunity to check it for errors and to provide any corrections and clarifications they saw fit. Electronic data, including interview recordings and transcripts, will be housed on the researcher’s personal computer, with backup on a personal hard drive in his home office, and it is available only to him. The computer is kept in a locked cabinet and electronic files are password protected.

**Limitations**

One limitation of this study was the sample size. It was important not to generalize the results beyond the population under study and to recognize that the observations participants made are subjective and require verification. Because the
researcher asked participants to recall experiences from their past, it was possible that selective recall limited the richness of their accounts. Also, some perceptions may have changed over time. Probing questions asked participants to consider what they think now as opposed to what they remember feeling then will be necessary to identify areas of reconsidered experience.

**Summary**

This chapter described the methods for a phenomenological study of the words and actions superintendents used to lead a culture shift in an educational system after the occurrence of a scandalous critical incident. The study involved purposive sampling to create a participant population of ten, whom were individually interviewed based on Appendices A and D. Interviews were recorded and transcribed. Participants were able to read their transcripts and offer corrections and clarification. Interview data were coded and analyzed for themes. Participation was voluntary, and participants’ anonymity was ensured through the assignment of pseudonyms.
CHAPTER IV
PRESENTATION OF DATA AND FINDINGS

Introduction

Superintendents are tasked with the day to day work of both understanding the culture of the educational system in which they lead and then identifying opportunities to help the culture evolve and grow. Sadly, educational systems may experience a somewhat instantaneous erosion of positive organizational culture due to a scandalous critical incident. It is hoped by this researcher that this study will provide insight into the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident.

The purpose of this dissertation is: (1) to identify the words and actions superintendents use to lead an educational system culture shift following the occurrence of a scandalous critical incident: (2) examine those words and actions through the lens of John Kotter’s eight steps for change and Thomas Sergiovanni’s five sources of authority; and (3) to make recommendations to superintendents to lead their own educational system through a culture shift if a scandalous critical incident should occur.

Research Questions

Based on the above stated purposes, the main research questions for this dissertation are as follows:
1. According to the perceptions of district stakeholders, what words and actions did superintendents use to lead an educational system through a culture shift following the occurrence of a scandalous critical incident?

2. According to Kotter’s eight steps for change, what steps did superintendents accomplish to lead an educational system through a culture shift following the occurrence of a scandalous critical incident?

3. According to Sergiovanni’s five sources of authority, what sources of authority did superintendents use to lead an educational system through a culture shift following the occurrence of a scandalous critical incident during each of Kotter’s eight steps for change?

4. What are the implications to educational leadership identifying the best practices for leading an educational system through a culture shift following the occurrence of a scandalous critical incident?

The goal of this study is to determine the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident. The expertise and experienced knowledge of stakeholders who have garnered professional experiences in addressing scandalous critical incidents will be probed in this study.

Implementing a phenomenological study will support the identification of a basic structure of professional experiences in identified stakeholders who have experienced a scandalous critical incident and the subsequent steps they used to lead a cultural shift in the school district as a result of the scandalous critical incident. In other words, the goal is to track and analyze the responses of the selected district superintendents first based on
whether or not the step for change took place and then based on which source of authority was utilized during the particular step for change. Then, themes were noted in responses to the queries to address the research question. Finally, identifying themes in responses from additional stakeholders within each educational system and interpreting this data with respect to their context within the organization will produce an imaginative variation; a characteristic of phenomenological study.

**Description of the Educational Systems Being Studied**

**Buchanan School District**

The first educational system being studied for this research project is located in the Midwest of the United States of America. It is a unit district serving students in grades pre-kindergarten through twelfth grade. The district is comprised of one early childhood center, eight elementary schools, two middle schools, and one high school and the system educates 8,810 students. Buchanan School District and the names of stakeholders interviewed are pseudonyms intentionally crafted to protect the anonymity of the participants in the study.

The school district’s mission is “Inspiring all learners to achieve excellence.” According to the district’s webpage “We believe in providing our community with an exemplary educational system that inspires all learners to achieve excellence. We aspire to be among the very best school systems within a global community, with students who are well-prepared to make a life, a living, and a difference. The beliefs described in this philosophy are intended to serve as a frame of reference, the direction by which all district policies, resources, and energies are aimed and applied.”
**Buchanan School District students.** The district has an enrollment of 8,810 pre-kindergarten through twelfth-grade students. Students come from somewhat diverse socioeconomic and ethnic/cultural backgrounds. Below is the breakdown, by percentages, of the enrollment.

- **18.0% Low-Income** - Low-income students come from families receiving public aid; live in institutions for neglected or delinquent children; are supported in foster homes with public funds; or are eligible to receive free or reduced-price lunches.

- **6.5% Limited-English-Proficient** - Limited-English-proficient students are those students eligible for transitional bilingual programs.

- **15.5% IEP** - IEP students are those students eligible to receive special education services.

- **4.2% Mobility Rate** - Mobility rate is based on the number of times students enroll in or leave a school during the school year.

Table 6

**Percentages of Student Ethnicity in Buchanan School District, Illinois, and the United States**

<table>
<thead>
<tr>
<th>Ethnic Group</th>
<th>District</th>
<th>Illinois</th>
<th>USA</th>
</tr>
</thead>
<tbody>
<tr>
<td>American Indian/Alaska Native</td>
<td>00.1</td>
<td>00.3</td>
<td>0.01</td>
</tr>
<tr>
<td>Asian</td>
<td>10.7</td>
<td>04.2</td>
<td>0.05</td>
</tr>
<tr>
<td>Black/African American</td>
<td>01.5</td>
<td>18.2</td>
<td>0.17</td>
</tr>
<tr>
<td>Hispanic</td>
<td>15.9</td>
<td>23.6</td>
<td>0.22</td>
</tr>
<tr>
<td>Native Hawaiian/ Pacific Islander</td>
<td>00.0</td>
<td>00.1</td>
<td>N/A</td>
</tr>
<tr>
<td>White</td>
<td>68.5</td>
<td>50.7</td>
<td>0.55</td>
</tr>
<tr>
<td>Two or more races</td>
<td>03.3</td>
<td>02.9</td>
<td>N/A</td>
</tr>
</tbody>
</table>

*Source: eReport Card Public Site, 1014 and Civil Rights Data Collection, 2014.*
**Buchanan School District staff.** The district currently employs 734 certified staff, which includes 699 teachers and 35 administrators. Teachers who earned only a bachelor’s degree, making up 14.7% of the staff, demonstrate an average of 6.6 total years of teaching experience and earn an average salary of $56,832. Those teachers who went on to pursue a master’s degree and account for 83.8% of the certified staff average an annual net salary of $82,229 and have 13.9 years of total experience in the field. Those teachers who possess a doctorate average 11.8 years of experience while earning an average of $75,889 per year. This final group only accounts for the remaining 1.43% of the certified staff (eReport Card Public Site, 2014).

Conversely, of the 35 administrators in the district, all possess more than a bachelor’s degree, with 80.0% percent having earned a master’s degree. The remaining 20.0% of the administrators have earned a doctorate. Those administrators who possess a doctorate average an annual salary of $163,236 and their peers who possess no more than a master’s degree average $125,571 in salary (eReport Card Public Site, 2014).

**Buchanan School District finances.** The 2011-2012 budget was $138,335,666. Below are the expenditures and revenue sources as reported on the district webpage.

**Expenditures:**

- Educational – 72.5%
- Tort – 0.3%
- Operations/Maintenance – 6.8%
- Transportation – 7.3%
- IMRF/SS – 2.4%
- Capital Projects – 0.8%
• Debt Services – 10.0%

Revenue Sources:

• Local Property Taxes – 84.5%
• Other Local Funding – 4.3%
• General State Aid – 1.5%
• Other State Funding – 6.1%
• Federal Funding – 3.5%

Buchanan School District’s 2011-2012 Total Equalized Assessed Valuation (EAV) per pupil was $401,419. The district’s fiscal year 2012 operating expenditure per pupil was $14,017. For the sake of comparison, the “Foundation Level,” which is intended to represent the minimum level to adequately fund the education of a single pupil in the Illinois K-12 public school system has been set in statute at $6,119 per pupil since 2010, and the state average is $11,842 (eReport Card Public Site, 2014). In addition the national average for the current expenditure per pupil in America’s public schools is $11,153 (eReport Card Public Site, 2014).

Buchanan School District scandalous critical incident. In the winter of 2011, the educational system was embroiled in a scandalous critical incident which involved a department chair being arrested, charged and negotiating a no contest verdict for embezzling tens of thousands of dollars from the Fine Arts Department.

Polk School District

The second school district being studied for this research project is located in the Midwest of the United States of America. It is a unit district serving students in grades pre-kindergarten through twelfth grade. The district is comprised of one specialized
learning center, one early childhood center, seventeen elementary schools, seven middle schools, and four high schools and educates 28,726 students. Polk School District and the names of stakeholders interviewed are pseudonyms intentionally crafted to protect the anonymity of the participants in the study.

According to their website, the school district strives to “Prepare learners for the future.” The district’s mission is to “serve the community as the primary source of comprehensive, high quality education in a trusting, supportive environment – to develop, at all levels, responsible, successful citizens by providing an education, in cooperation with home and community, which fosters each individual's value, uniqueness, and importance and promotes lifelong learning in an ever-changing society.”

**Polk School District students.** The district has an enrollment of 28,726 pre-kindergarten through twelfth-grade students. Students come from diverse socioeconomic and ethnic/cultural backgrounds. Below is the breakdown, by percentages, of the enrollment.

- 21.0% Low-Income - Low-income students come from families receiving public aid; live in institutions for neglected or delinquent children; are supported in foster homes with public funds; or are eligible to receive free or reduced-price lunches.
- 6.0% Limited-English-Proficient - Limited-English-proficient students are those students eligible for transitional bilingual programs.
- 14% IEP - IEP students are those students eligible to receive special education services.
- 1% Mobility Rate - Mobility rate is based on the number of times students enroll in or leave a school during the school year.

Table 7

Percentages of Student Ethnicity in Polk School District, Illinois, and the United States

<table>
<thead>
<tr>
<th>Ethnic Group</th>
<th>District</th>
<th>Illinois</th>
<th>USA</th>
</tr>
</thead>
<tbody>
<tr>
<td>American Indian/Alaska Native</td>
<td>00.4</td>
<td>00.3</td>
<td>0.01</td>
</tr>
<tr>
<td>Asian</td>
<td>05.4</td>
<td>04.2</td>
<td>0.05</td>
</tr>
<tr>
<td>Black/African American</td>
<td>0.90</td>
<td>18.2</td>
<td>0.17</td>
</tr>
<tr>
<td>Hispanic</td>
<td>22.6</td>
<td>02.9</td>
<td>N/A</td>
</tr>
<tr>
<td>Native Hawaiian/ Pacific Islander</td>
<td>00.1</td>
<td>00.1</td>
<td>N/A</td>
</tr>
<tr>
<td>White</td>
<td>03.4</td>
<td>02.9</td>
<td>N/A</td>
</tr>
</tbody>
</table>


Polk School District staff. The district currently employs 1,992 certified staff (which includes 1,889 teachers and 103 administrators). Teachers who earned only a bachelor’s degree, making up 34.1% of the staff, demonstrate an average of 7.3 total years of teaching experience and earn an average salary of $40,930. Those teachers who went on to pursue a master’s degree and account for 65.3% of the certified staff average an annual net salary of $58,584 and have 11.3 years of total experience in the field. Those teachers who possess a doctorate average 12.5 years of experience while earning an average of $67,182 per year. This final group only accounts for the remaining 0.55% of the certified staff (eReport Card Public Site, 2014).

Conversely, of the 103 administrators in the district, only 2% possess only a bachelor’s degree, while 91.2 percent have earned a master’s degree. The remaining 6.8% of the administrators have earned a doctorate. Those administrators who possess a doctorate average an annual salary of $136,941 and their peers who possess no more than
a bachelor’s degree average $76,176 in salary. The overwhelming majority of administrator’s who have earned a master’s degree make an average salary of $83,772 (eReport Card Public Site, 2014).

**Polk School District finances.** The 2011-2012 budget was $266,503,366. Below are the expenditures and revenue sources as reported on the Illinois District Report Card (eReport Card Public Site, 2014).

Expenditures:
- Educational – 71.7%
- Tort – 1.6%
- Operations/Maintenance – 6.3%
- Transportation – 5.2%
- IMRF/SS – 2.2%
- Capital Projects – 0.3%
- Debt Services – 12.6%

Revenue Sources:
- Local Property Taxes – 56.4%
- Other Local Funding – 4.4%
- General State Aid – 22.9%
- Other State Funding – 10.5%
- Federal Funding – 5.9%

Polk School District’s 2013 Total Equalized Assessed Value (EAV) per pupil was $129,274. The district’s FY2012 operating expenditure per pupil was $9,124. For the
sake of comparison, the “Foundation Level,” which is intended to represent the minimum level to adequately fund the education of a single pupil in the Illinois K-12 public school system has been set in statute at $6,119 per pupil since 2010, and the state average is $11,842 (eReport Card Public Site, 2014). In addition the national average for the current expenditure per pupil in America’s public schools is $11,153 (eReport Card Public Site, 2014).

**Polk School District scandalous critical incident.** In the Spring of 2012, the educational system was embroiled in a scandalous critical incident which involved a female teacher being arrested, charged and found guilty of engaging in an inappropriate sexual relationship with a 16 year old male student.

**Administrator Demographics for the Semi-Structured Interviews**

Semi-structured focused interviews were conducted with ten school district administrators. Five district-level administrators were interviewed on site. One School Resource Officer was interviewed on site and four building level administrators were interviewed on site. The ten administrators were asked a series of eight questions and subsequent probes in the areas of leadership, change theory, and scandal. Their responses were recorded on a tablet device and transcribed by an independent online transcription service.

General demographic information was collected from each administrator before the interview questions were asked. Table 8 details the demographic data collected.
Table 8

Participant Demographic Data

<table>
<thead>
<tr>
<th>Administrative roles</th>
<th>Four Building Administrators</th>
<th>Five District Administrators</th>
<th>One School Resource Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average years in education</td>
<td>16.75 years</td>
<td>23 to 40 years</td>
<td>9.00 years</td>
</tr>
<tr>
<td>Range of years in education</td>
<td>9 to 29 years</td>
<td>12 to 31 years</td>
<td>9 years</td>
</tr>
<tr>
<td>Average years in this position</td>
<td>8.50 years</td>
<td>12.00 years</td>
<td>9.00 years</td>
</tr>
<tr>
<td>Range of years in this position</td>
<td>3 to 20 years</td>
<td>2 to 25 years</td>
<td>9 years</td>
</tr>
<tr>
<td>Educational Background</td>
<td>Bachelor’s Degree</td>
<td>Master’s Degree</td>
<td>Master’s Degree +30</td>
</tr>
<tr>
<td></td>
<td>0</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td></td>
<td>0</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>0</td>
<td>2</td>
<td>0</td>
</tr>
</tbody>
</table>

Superintendent Interview Responses

The following data represents eight initial superintendent interview questions, subsequent probes, and the participants’ response to each of the questions. For each question, the responses are divided by the educational system.

Superintendent Interview Question 1

After the scandalous critical incident occurred in your educational system, do you feel you established a sense of urgency to shift the culture of the system? Can you provide details or examples regarding why you feel this way?

Charles Loomis, Buchanan School District, Superintendent. Well, kind of. Let me just kind of say something at the beginning. I think at the beginning of a lot of these type of situations is that you’re not clear on what you have. That becomes a fumbling area at the beginning in where you’re going is someone just screwing up on procedures. Is the report that I’m getting, is there any truth to it? You may start the conversation thinking you're on a personnel issue and as you move three or four steps you start
bubbling in your mind that this is an embezzlement issue and not an HR issue. In this situation, where it's starting to come together that an embezzlement has occurred, yes, you do have to create a sense of urgency but it's controlled urgency. However, you need to be concerned where you create it. In the very early stages, particularly if it involves a criminal investigation, you can’t create it in a widespread way across the system; you don't want to inform them that you're creating a sense of urgency. You document things and make sure certain people are in the loop. In my case, this is the board president, the police and two or three internal people who I am trusting and I know I can keep their confidentiality. You have documentation later so no one can say you were hiding it or washing it under the table. But you're not creating urgency in the whole system that we have to change a money handling policy because we may not be there yet.

**Mike Thompson, Polk School District, Superintendent.** We definitely created a sense of urgency and I think it was my role to be the lead for that concept. I think, and I'm just referencing my notes, I think once you recognize and appreciate the impact that the source of the information can have on the matter, the second thing to do is to get legal counsel involved. Because you're dealing on the one hand with personnel law and the responsibility that the district has to protect the confidence of the teacher, there is always the possibility that this didn't happen. Regardless of the outcome, this teacher is probably going to go through hell and to a degree you have to go through it with them and hold his or her hand until it becomes apparent that, the with all due respect, he or she belongs in hell. And then you make recommendation to the Board of Education based on the facts. Specifically, there are certification issues, licensure issues, and on the other hand just the
whole media push for information and FOIA requests and all of the things that come with it.

1st Probe of Question 1. Tell me more about that?

Recognizing that anything you say, anything you release in the form of a press release is going to likely end up in court for somebody. So in promoting a sense of urgency, the lawyers are on standby and a third factor, which I think probably aligned with the study that you're referencing is for the district to identify one individual whose job it is to scour the internet, scour newspapers, radio, television, and collect record, videotape any public report about it and to create both a paper and electronic album for us to review daily. To see if there is information that is coming out that we're aware of, if there is information coming out that we're not aware of. If we have staff or students that are making comments to the press that becomes new information to us or that we didn't realize that particular person had involvement then we may need to include them in our investigation. The person who does this becomes the voice for the district. If the newspapers call or camera crews come to the school or whatever the case may be, there is one person in this district that is the assigned voice. Their job is to lay out the protocols to the media sources. They’ll tell them that they are allowed to show up at this high school, they have a right to be across the street with a camera. They don't have a right to come on this property. Anybody else declines an interview. You're not the one person. It all goes through one person and obviously that person is pretty disciplined in what they can say and what they can't say.

2nd Probe of Question 2. How did stakeholders comply with your efforts to establish a sense of urgency?
I think that's a blessing for me to have people who understand how deep the water is and that as horrific as this is for the child involved, as well as the teacher, there is a much bigger issue that needs to be addressed. And that is the trust of our community. Because you know, uh...this is going to end. I don’t know how it's going to end. I just learned about it two hours ago but one things for certain, it's going to end, the question is what are the lingering effects of that because if it ends and the community for the most part can look at the district and say "well done" than that’s the best we can hope for. If the community feels as though the district lost control, never really even seized control, tried to sidestep, and tried to hand it off to law enforcement, that's going to linger for years. This is the very nature of the scandal. You're obviously focused on the incident at hand, but you've got to recognize that the incident at hand has sent a very, very damning message about your organization to the wider community and you better be positioning yourself to work to help the child while on the same time having an eye on the bigger picture.

Superintendent Interview Question 2

Was there a creation of a stakeholder group to shift the culture after the scandalous critical incident occurred?

Charles Loomis, Buchanan School District, Superintendent. In this situation one was by their role and position. Police detective or chief wouldn’t matter if I trust them or not, I need someone in that role. Second are people who are close to the problem that will have an intimate knowledge of what's going on. Third are people who I believe can remain confidential and can be trusted. Fourth, if after they have those [traits], then it
would be absolutely wonderful if they have a track record of good common sense and a good compass.

**Mike Thompson, Polk School District, Superintendent.** Uh...fair question. And before I identify those people I would say that you need people who are directly impacted by this. And they're the same people who are going to grab the shovel and help you dig out and that’s important. So before we would identify stakeholders for this situation, key to the systems success is trying to hire the right people who are going to step up and do the hard work with you.

In this case, I don’t involve my assistant for curriculum or the business department or student services. I definitely involve my administrator for personnel because of the likelihood that this is going to go to a teacher dismissal. So the lawyer, the board president, who in turn is responsible for sharing as much as he or she chooses to share with the rest of the board, but we are also guiding them with talking points so that when he gets a phone call, then this is his answer. Anything beyond this answer is going to compromise the district.

That child also has a high expectation of privacy and confidentiality. So, the lawyer, the Board President, uh...we're blessed to have a community relations person who is that one contact that I identified as the voice of the district. Also, the Asst. Sup for Administration and Personnel, possibly one or two of their staff members in terms of conducting the investigation, the building principal and while each situation may lend itself to bringing someone else on, generally that would be it.
1st Probe of Question 2. How did you feel the stakeholder group that you established complied with the path that you wanted to take to repair the damage that had occurred?

Our culture is built on a servant leadership mindset. In short, we're here to serve. The central office of this district exists to serve 30 campuses not the other way around. You know, those other buildings don't exist to serve the Taj Mahal.

Superintendent Interview Question 3

Was an effort established that allowed for members of the educational system to create a vision for the future and shift the culture? Can you provide details or examples regarding why you feel this way?

Charles Loomis, Buchanan School District, Superintendent. What I try to do in the actions we’re taking at a point in time I am always trying to think of the alphabet. We're going to go from A to Z. There’s not just one Z. There’s probably four different Z’s. At point A in time, you’re not always sure how it's going to end up. It’s like a chess game; I'm trying to assess all of the different moves. If I'm turning right or left, what is the downstream effect if I go right or left and what is the effect on me if it goes bad?

1st Probe to Question 3. Is that something you are sharing with group?

That's just how I operate and it’s part of my leadership style. I find it amazing that when I reflect with certain people and play it out various scenarios that they weren't able to see that it could go wrong. And they don’t see what they could have done at a certain point when it was going wrong to avoid it from going wrong. Like when you have a death. You don't say it's a suicide until the coroner says it's a suicide and even then you only refer to the fact that the coroner said it was a suicide.
Mike Thompson, Polk School District, Superintendent. Our vision is justice for the student and the teacher. Whatever that is, and in my experiences and I'm not suggesting in any way to be an expert, 35 years of experience with five or six situations of this magnitude, but in each and every case, the allegations were true and the teacher was guilty...period. And to emerge from that having recaptured, or at least regained some trust back from the community. Ah...one of the other very important variables was personal contact. Media, there's times they need to see the superintendent but generally they just want information. Community relations can do that. While initially I or the board president may attend that conference, after the first two it will be the Director of Communications, but prior to that, there has to be a personal message delivered to staff, preferable within 24 hours of learning of the incident.

In the case of this situation, where coming to work I get a phone call, the end of that school day, the principal and I stood in front of the faculty, we didn't share any more information than what we shared with the media but we did it in person because these people were impacted at a level that the community, in general, was not. This was their colleague. This was their student. They're trying to figure out what happened. Here's what we know. Here's what we’re doing. The only thing that the conversation includes that the media doesn't get is that cameras are going to be coming. If you're at football practice and you see the news van, they’re taping you and your kids. And as your kids go from practice some reporters are going to wave them down. We have to talk to our kids. And if you were the student, what would you want. I'd want my privacy. Then just make sure the kids are prepared to say “no thank you” to the reporter and go on their way. And then we talked to the teachers again about, not overboard initially, but we talk about best practice.
You know...if you're working alone with a child and you're providing tutoring, get those blinds up, move the desk over here and keep the door open. Best practice. We don't leave kids unsupervised. We leave when the last kid leaves. I don't expect every football coach in the program to stick around until Johnny gets on the bus but let's say we have fifteen coaches, one of you stays. Johnny goes, we all go. Again, best practice. So that personal touch and whether it helps or not I make it point to be visible in the building in the days after.

**Superintendent Interview Question 4**

Was the vision for the future communicated to all stakeholders in the educational community during the culture shift? Can you provide details or examples regarding why you feel this way?

*Charles Loomis, Buchanan School District, Superintendent.* Sometimes it is and sometimes it isn't. Some people can’t see six moves ahead in chess and some people can only see three moves. I don't think you can show all of that to people but in situations in which I know it is going to be a quick turnaround, I'll ask people to play both angles in their work. I may ask the communications person to run B instead of A but only change this single word. Then it's fast and we're ahead of the communication.

1st *Probe to Question 4.* How did stakeholders respond to the communication?

For the most part, we do communication well in this district. A lot of that has to do with the talent of Will Barnett and the team that is making the decisions. While Will can describe something better than anyone out there, a bad decision is still a bad decision and there isn't much he can do to improve it. What he does well is spot those holes and acknowledge those holes exist. In this situation, we were always telling a clear story and
the communication for that story happened over months, so we refresh people on the chapters that have already been told. So we said this and now we said this and avoiding those who are trying to catch you in inconsistencies in what you said. What we do is we keep an eye on the last three pieces of communication that went out as we create the current piece of communication. The other piece we do well is coordinate well with other local organizations. We get to a certain trust level where they are not going to blind us. The communication that the police are going to say is that the school district has been extremely cooperative from the early stages of the investigation and our line is going to be that the police have been involved in the earliest of stages. We say this so that although they will realize that things have been going on behind the scenes, it went on behind the scenes so pieces of the investigation were not compromised. Most people will get that.

2nd Probe of Question 4. How do you achieve transparency?

Transparency is important. But a caveat I give is that there transparency exists to certain a degree. We do not have to be transparent to the point of being naked. It's not everyone’s right to see us naked and it’s not always pretty to see us naked. I use that metaphor for a reason. The public doesn't have a right to know everything. But there are certain things they are entitled too. In the public domain, we do have a responsibility to give them information. There are certain pieces of information, for valid reasons, that is important. But someone requesting to see someone’s evaluation isn't going to happen. We’re not going to go there.

Mike Thompson, Polk School District, Superintendent. Yes. The Polk School District family has suffered a loss and when a family suffers a loss they come together.
We have 30 buildings. This building suffered a loss so we come support each other when possible. In real life, if we live out of state we come home. The family comes home so the superintendent is visible and it's a lot of "thanks." They don't even know why they are thanking me. Except, I think there's a comfort in knowing, there's a comfort through my role in being present, and yes I have my antenna out and I'm gauging and recognizing are we still okay? Do we need supports? Those supports, I guess I would throw in, need to extend beyond the instructional day. The media center is open tonight if any family or student would like to return to school to talk with a counselor, then we're here. Uh...I think those are important.

1st Probe of Question 4. Does your communication change as time moves on?

Initially, there is the impact of the tragedy but also the unknown. Think of the missing airplane [referring to Flight MH370]. The unknowns, is it missing, could it have landed, and did it crash? Everyone is numb because how could a plane have disappeared. Everyone is scrambling to try and make sense of this situation because as time goes on and as facts become known and the investigation progresses, you're continuing to meet personally with staff and there is a point where I wean away and the principal acts alone with his staff, and the reasons are what was unknown is becoming known. And there's a special session with the board of education at which time they will consider personnel and this matter, I’m not at liberty to talk about it anymore, however, I've asked Mr. Principal, I will be in contact with him at the end of the meeting. He will be in contact with you tonight. And typically that's either a very confidential communicate, I don't like those being a ConnectEd message, but rather activate the old fashioned phone tree where administrators are talking to people, here's the script.
Next, the Board of Education accepted a resignation and then there's closure. That signals communication. It's not over per say, but there isn’t much more to say. The state's attorney and the law enforcement and the criminal prosecution, that's just beginning but for the most part. We're selfish people. The school aspect is done in the context of the personnel matter. Now we are going back to the staff and we're providing them all of them with professional development and we are deliberately scheduling an assembly or some instructional time for kids on protecting themselves.

And again, the message is we’re not hiding anything, okay, this happened, we're not talking about this specifically but especially at a high school kids will know. Now we're equipping kids, reequipping kids, refining their skillset to advocate for themselves. So it isn't just this happened and it's unfortunate and it's terrible and it's all of those things but now we're going back, we're going to give 2,200 kids in that high school deliberate skills on what to do to prepare themselves and restating expectations.

**Superintendent Interview Question 5**

Were stakeholders empowered to implement the vision for the future and make changes during the culture shift? Can you provide details or examples regarding why you feel this way?

**Charles Loomis, Buchanan School District, Superintendent.** You have to really start building relationships with your team. You have to know their talents, capacities, and skillsets. You have to know that they feel comfortable accessing you whenever they need to and that you will ensure that access is available for them. If you work with people enough, they start knowing when they might be getting too far out on a limb or too far over their skis. If their smart, they'll know to pull back...check-in, touch
base and firm up the other person holding the limb. Again, knowing those people well and they knowing you well helps. But if you get a person who doesn't know when to ask or check back in [sighs with hands in the air]... My gut feeling is that you need to get rid of them.

1st Probe of Question 5. How was the success of the strategies that were implemented measured?

I think it's having the ability to multi-task on a lot of different things and walk into a room and say have you thought of this and have you thought of that, what's happening here. If the answers that you're getting are solid, then it gives you confidence. If the answers you are getting are shaky then you need to get closer to that fire and pay much more attention. If I walk into a room with Shirley and I ask six questions and I get six answers quickly and confidently that resonate with me and are logical and solid, then we’re good. If there seems to be a little queasiness on it or they are not well thought out, I might say don't go any farther on that until we can sit down and process or I'll say get me these five pieces of information then come back to me. Then I want to process it. A lot of it is gut, especially when you’re flying in the cloud of war. You might not have all the facts at times but you're making the best decision you can on the information you have.

Mike Thompson, Polk School District, Superintendent. Part of it is cultural; part of it is administrative style. I don't know if it's good or bad but I know in my heart that even if it didn't happen in our house, we're one of thirty. I think it's disrespectful of me to think that the other 29 principals aren't impacted by this; of course they're impacted by this. Parents are coming in, they've read about it, they've heard about it. I want to give them support and to be sure they have information in a respectful way, not through the
media, but from me directly; here's what we know. If a parent asks a question, here's what we know. You don't know any more than that. Ignorance is bliss. You shouldn't know anymore and you know that as the principal of your building that you shouldn't know anymore.

I also think that staff feels valued. I'm the third grade teacher at an elementary school at the southern end of the district. This took place at a school that I've never even been too, but the district made sure I had the facts and I didn't have to read about it in the media. And that contributes to what you described as the end game. There’s a rebuilt trust here. Teachers are your very best ambassadors or they are your worst detractors. Parents believe teachers. They trust teachers. Administrators, I'm not saying they don't trust, but they never trust to the level they do teachers because you don’t have “Joey” sitting in your office like the teacher has Joey in her classroom. When Joey was sick the teacher did this and that.

Administrators are respected and they do a lot of those extra things but if you don't tap into your teacher work force and recognize when it comes to a message from the district, those 2,000 people are the very best ambassadors I've got. I just need to equip them with the information and value them, respect them. If they feel valued and they feel respected and a parent asks, they're not going to tell them anything that isn't already public but this came from the Superintendent. It didn't come from the newspaper. The info came from inside the system.

**Superintendent Interview Question 6**

Were short term successes celebrated during the culture shift? Can you provide details or examples regarding why you feel this way?
Charles Loomis, Buchanan School District, Superintendent. In this job, once you put out one fire, you're going to have another one coming at you. It’s always a long march. I do think that while we may not get up on a podium and jump up and down, we will congratulate each other on a nice job and comment on hitting all of the right points at the right time. When dealing with a scandal, it has to be that underlying gratification that you were able to move yourself forward. I don't want to outwardly throw a party but good leadership is all about knowing that you made a decision with the best information at the time and that decision landed your district in a better position than where you were yesterday. So yes, we do celebrate those successes and in this specific case, it had everything to do with the communication that we put out but it had to be humble at the same time. As far as the group goes, reflection is a time to celebrate as well. We know when we dodged a bullet and we're not afraid to pat each other on the back for it.

Mike Thompson, Polk School District, Superintendent. I think the way you phrased that is very fair. There is no celebration. What exists is a deliberate quiet word between me and individually with each of the core group members when I'm back in the building or the board president and just to people who you knew were having a particularly hard time. Statements like, “how are you doing? Do you need anything?” The celebration is that your individual relationships and admin member’s relationship with their staff carried us. As Principal, you need to know that I know that. When you talk to those people and I stood with you, the trust I had with you carried us. Thank you. That's it. The parent? Likewise.

There has to be some kind of closure, even if the closure is open ended. Your child is ready to come back to school. Can you come in with your child so we can talk
about some of the questions he's going to get from kids? These are the questions. Let’s just talk about some ideas on how to answer those. If you answered it another way it might promote questions or whatever and I'll bring in a counselor or whoever and we can do it off school grounds but the parent knows the immediate needs of the family. You’re equipping them with the skills to deal with the inevitable. You're continuing to provide whatever support, social work, counseling, psychologist, whatever support to help the child in the long haul.

And it ends with we're never done here. If you drive home and you think of something, you call me. A week from now, a month from now, a year from now, your child has and I don’t use this word because I don't understand it, a flashback, they go to a college visit and all of the sudden they’re terrified, we need to talk. I don’t what the answer to that is going to be. We're bringing it to a closure and ensuring that the door is always open.

Superintendent Interview Question 7

Did the focus for the culture shift of the educational system waiver? Can you provide details or examples regarding why you feel this way?

Charles Loomis, Buchanan School District, Superintendent. The last thing any organization wants is a chief executive who is bi-polar. Everyone wants somebody who is consistent. They all watch you at the beginning. It’s the first couple of crises that come up which set the stage for how they will perceive you for much of your time after those events. George W. Bush's most well-received time in his presidency was six or seven days after 9/11. George H. Bush's most popular moment was 30 days into the first Gulf War. Crisis is something that establishes you quite well because people want to come
together and see how your metal is being tested in that situation. To your question, establishing consistency is important so that the community recognizes that if you make a mistake that you are willing to admit it. Every time you do something right, you are building collateral for when you do something wrong. If you start screwing up right from the beginning you're doomed.

**Mike Thompson, Polk School District, Superintendent.** I think there is a natural impatience that you have to resist. Impatience is going to land you in a bad spot. You have to let it run its course. When you're seeing on the media that there’s a kid on TV saying something and you begin to ask your core group did anyone know about that?" We'll bring in a principal that the child feels comfortable with but I want that kid interviewed...tonight. So there’s an impatience that you want to deal with. You just have to tell everyone that they have to stay the course.

**Superintendent Interview Question 8**

Did the educational system achieve the vision that was created for the culture shift? Can you provide details or examples regarding why you feel this way?

**Charles Loomis, Buchanan School District, Superintendent.** It’s not for me to determine that. First of all, in life it’s beautiful to have closure, put a bow on the package and seal it. It’s my belief that in complex issues, that often the truth is never known and it doesn’t wrap-up that nicely for you. Right now I cannot tell you exactly how much money was missing and we'll never know exactly how much money was missing. We will not know whether this employee took the money or whether a relative of this employee took the money. What we can do in terms of closure is communicate to the community what we did along the way, what the authorities agree to, what the police
agree to, and what policies and procedures we change to avoid this occurring in the future. But I don’t think in a lot of situations there is beautiful closure. Is Elvis Dead? Who shot John F. Kennedy? For goodness sake, it was filmed. Is there closure on that? People will come at you and believe there is a conspiracy. You can’t fight that. On your quest to be a transparent as possible it doesn’t mean everyone is going to believe you. In this case, what we could manage was the best outcome possible. I don’t get to determine the seven cards I get dealt, I can only play them the best I can play them. And believe me, sometimes those cards are lousy.

**Mike Thompson, Polk School District, Superintendent.** I believe one of maybe the most prominent factors I took away from this experience is the source of the information. I’ve had the opposite experience of a parent learning of her child’s inappropriate relationship and her looking through her child’s diary. The emotion and the secondary agendas of the individual can heavily influence the impact on the district and the final outcome. By that I mean in the other situation the parent was the first to know and for whatever reasons, and still relatively unclear to me, although I attribute it to the raw emotion of the child being violated in that way by a trusted adult, there was anger directed toward the teacher but there was what appeared to be a secondary agenda by the parent to make certain that the media got it. She had to make certain that the school district also was put in a very negative light. In the situation we’re referencing today, one of my first phone calls was to the child’s mother. I explained to her that I want to come and I want to talk and I want to meet. I also recognized that given the circumstances that may attract more attention from professional colleagues. She could not have been more appreciative of the call and respectfully but pretty directly asked, don’t come.
Are we sitting better today than when the situation occurred? Sure. Does that mean that I am confident this could never happen again; absolutely not. We have all the right protocols in place to make sure we hire quality people who care for kids. Those protocols were used to hire this person. However, it didn’t guarantee me that this wouldn’t happen. I’m comfortable knowing we have a team that can respond and address these situations as they arise and that our goal is to be as forthright and supportive as possible, while always looking inward to see if this was our fault. With the right people in place we went out of our way to make sure our vision of restoring the faith in our system is restored and justice was served. If you analyze it from that angle, then I do believe that the vision was achieved.

Participant Interview Responses

The following data represents nine initial participant interview questions, subsequent probes, and the participants’ response to each of the questions. For each question, the responses are divided by the educational system.

Participant Interview Question 1

After the scandalous critical incident occurred in your educational system, do you feel the superintendent established a sense of urgency to shift the culture of the system? Can you provide details or examples regarding why you feel this way?

Will Arnett, Buchanan School District, District Level Administrator. I was not as involved in the early stages as the issue unfolded. It reached a critical point where they felt there was a legitimate concern or enough evidence to suggest something had occurred.
1st Probe to Question 1. How did stakeholders comply with the superintendents efforts to establish a sense of urgency?

Charles has his style. He is highly engaged and can be very hands-on. When it was first brought to his attention he asks pertinent questions. When it began to elevate to a different level, he took a more direct role. We moved from a half dozen people to more than a dozen. The reasoning behind making this decision was based on what we know, what do we need to begin thinking in terms of communication, who else needs to be a part of the communication was still a decision-making group of three to five people and Charles was at the center of that. Because his style is that he wants to be in the know. He wants to be able to influence strategy and decisions. To his credit, he probably had two to four others who were giving him feedback from a variety of aspects which we specialize in; finances, HR, and PR.

Shirley Long, Buchanan School District, District Level Administrator. I heard there was a possibility of some missing money, I immediately began to determine who I would need to talk to and when I would need to talk to them. I may not have been the first person but when it was brought to my attention, it was serious. I began note-taking right from the start, the immediate feeling that I'm not going to sit on this. Who do I need to talk with; how quick can I talk with them?

1st Probe to Question 1. How did stakeholders comply with the superintendents efforts to establish a sense of urgency?

Well, the initial conversation when I found out and telling administrators in District office, the need to know administrators, it was that same day. After that, it was a call to the police, and that all happened relatively quickly. I'm going to say a couple of
days at the most before the people who need to know were informed. Charles’s role in all of these situations is “need to know.” Tell me what's going on. If you did anything, tell me what you did. He likes to give input. I like to seek his input, check my understanding, am I headed in the right direction, did I miss anything. He knew right away there was a sense of urgency. I knew I needed to put her on leave and investigate. I knew pretty quickly that it was something that had to occur. Sitting down and talking with her, letting her know that I had concern and that I needed to investigate. All of that, the contact with the police, the putting of the employee on leave and getting going with setting up for the investigation to clear the air and start moving forward happened within a day or two.

From that point, Charles and I decided who we needed to talk with who fell into the first circle, which fell into the second circle, who do we need to talk with and investigate? We decided to have a police officer in the room and decided who we needed to interview. So we created a schedule and within a week or two we had interviewed everyone we needed to.

Scott Everham, Buchanan Police Department. In my opinion, I think you know we just sat down and we started figuring out who was anybody and everybody that we could talk to. We named all that we felt could have been involved. This included teachers and witnesses. Let's get them in here and interviewed as soon as possible. So we set up a schedule with everybody that we wanted to talk too and that happened pretty quickly.

1st Probe to Question 1. How did stakeholders comply with the superintendents efforts to establish a sense of urgency?

The response was very positive. We were actually brought in very early on.

That’s one of the things that the school district and Dr. Loomis tries to do is get the police
involved at the first sign of impropriety. He can speak to why he does it but my impression is that he doesn't want to give the appearance that there's some type of cover-up by the school. Beyond that, we have developed a wonderful rapport and working relationship with the school district. It's something that is comfortable for us to do as well. We know a lot of the people at the district level and the high school level. As soon as they suspected that this was something that could potentially involve criminality, they contacted the police department and asked us to begin with the interview process.

**Dan Devitt, Polk School District, Building Level Administrator.** There definitely was a sense of urgency. My first contact regarding the situation was from Dr. Thompson. He basically said we have a Polk Central teacher who was arrested. I just assumed drunk driving or something to that affect. When he told me who the teacher was and what the situation was, I said okay, just a second, go back and start over because now I need to get a different frame of mind because we're talking about something completely different. This is school related; it's going to directly impact what happens in the building. So that was my first contact regarding the situation and that was basically almost at the point of “okay, we need to get a sub in the room because she's not going to be here today.” I methodically work out a plan of action with Dr. Thompson and determine the best initial steps.

**1st Probe to Question 1.** How did stakeholders comply with the superintendents efforts to establish a sense of urgency?

Everybody on the team then knows what their role is regarding their area of responsibility, whether it's discipline or student services or whatever it happens to be. They know that here’s my piece of the puzzle. Here’s what I can do to assist. If
somebody's in a position not directly related, what can I do to help? Everybody at the table left the table knowing this is what they need to do [hits hand into fist] first, second, and worked their way right down the list.

2nd Probe to Question 1. What were the actions of the superintendent during this initial phase?

Initially, he let me process through a number of steps and we really tried to hash out scenarios on how it would unfold. He laid out some clear guidelines on things that absolutely must happen, especially when it came to meeting with the media. On a professional level he trusted me to be the point person in the building and said if you need additional social workers/counselors then let me know. Dr. Thompson was serving as a support to the school throughout the problem but he really was instrumental in being my sounding board. Being a principal in this type of situation isn’t easy and it wouldn’t be any different for a superintendent. He actively listened to me and really helped me to understand a path to right this ship again because we didn’t need to go back to where we once were.

Cliff Epstein, Polk School District, Building Level Administrator. Anytime when you have a staff or student crisis, it's important to get movement on it quickly. So from my understanding when the district office was aware of the situation, and I can’t remember specifically who was notified first, if it was the district they notified us immediately or if it was us, then we notified them immediately and developed a plan of action to move forward.

1st Probe to Question 1. How did stakeholders comply with the superintendents efforts to establish a sense of urgency?
Our situation was, you know, we were aware of it through the reciprocal agreement with the Police Department. So we have a Student Resource Officer here. We basically found out, I think I found out before even the school day began because I found out the night before that there was a situation with a staff member and a student involved. I remember that next morning the building administrative team met as a group, if I remember correctly, and we kind of talked about a plan of attack. For one, how do we address the students in the class of the staff member, knowing that she’s not going to be there today because her picture was plastered on the news, and how do we deal with the student, not knowing if that male student was going to be in the building? Third, how do we address the needs of the student body with those first two areas meshing into a climate issue?

2\textsuperscript{nd} Probe to Question 1. How do you feel the superintendent’s efforts to establish a sense of urgency was received?

Well first of all, Dan as building principal, has always instilled in us, when you're told to do something you do it. So I think we weren't wow, why is he doing his. I think it's crazy we're approaching it this way. He handled it professionally and it got down to the root of the issue and let's address it. Be efficient with it, don't dwell on certain things. Address it and move on. He evaluated it as we were moving along in that process. Dan learned that from Dr. Thompson because he runs the district the same way.

Lori Callahan, Polk School District, Building Level Administrator. Yes. I would say there was a sense of urgency. And definitely a sense of urgency, not only to rectify the immediate situation of you know, do you need to remove the teacher from the building, are students safe, but how do we clean up, how do we you know once we
remove the situation, um how do we um focus on you know maintaining an orderly learning environment. I think was really Dr. Thompson’s focus.

1st Probe to Question 1. Um, I think the initial impression was people were pretty dumbfounded, pretty devastated by the fact that she was incredibly popular teacher. Um, she was a well-respected teacher amongst the staff and I think the first response by everybody was an emotional one. How could this happen? You know disbelief, dumbfounded that it would happen. There were literally some emotional responses, teachers coming down to counselors literally crying anger; a lot of her students had a lot of anger about it. Um, the student involved allegedly made some comments to other peers that this was kind of a conquering of a staff member so some of the students took that very personally and felt that that was very inappropriate. So there were a lot of emotional things that we were dealing with such as crying, emotional response in that way but also anger. I think we just had to let people talk about it in their own way. You know obviously it needed to stay out of the classroom, so whether it was a student talking about it or a staff member talking about it, we put the kibosh on it being a classroom discussion. So my office really handled a lot of that and then dealt with that. It was just kind of walking people through it and time to heal. You know we needed time to heal from that. And just reassurance that you know this was not a consistent problem. This was a one-time thing. It was unfortunate, we all make mistakes, we all move on. I think that that healing process, like the grieving process, I think it was no different than that for this situation and for the building.

Pete Mitchell, Polk School District, District Level Administrator. We were at a Board of Education meeting when one of the members of the Polk Police Department
called me. Obviously, Dr. Thompson was in the board meeting so he couldn’t answer the phone. My phone goes off; I immediately get up and answer my phone. [The police] told us that they had just arrested this young lady with a student and all the gory details. You know I immediately found a way to get his ear and to tell him what was going on. They were going to fill us in more and come back later. They did so the next morning. However, whenever it was, we immediately convened around the superintendent’s conference room, I believe it was the next morning, to determine what we will do and say. In this day and age, everything is public. And everything is urgent. And those who do not understand that will die by their misunderstanding. So you cannot be slow on the draw. You have to be deliberate. Be careful, be thoughtful because there are legalities involved but we had to say something and say it now and clearly. Recognizing that the second that police put out their information the media would get it and having been a reporter myself for 20 years, I know how the cycle works.

**Brian Greene, Polk School District, Building Level Administrator.** As far as like district wide or school wide. In my role, I didn't have much contact with Dr. Thompson. But with the building administration, I know for a fact that they were taking direction specifically from Dr. Thompson.

**1st Probe to Question 1.** Who were you taking your direction from?

Basically, Cliff Epstein and Dan Devitt, Principal. Dave Biondi was involved a lot as well. I was in meetings with them, talking about what we needed to do, as far as from my department. So I mean, immediately after the fact, the department was like somebody died in our department. She was a very well-liked teacher and staff member. I mean kids loved her classes. She was a great teacher. Kids really were dying to get into that class. It
was always filled. It was a great run class and so some of the kids looked forward to it and the kids really related well to her. Um, and just as a staff member she had been there four years so there’s a lot of younger teacher that came in with her who were very close with her, not only as a co-teacher but as a friend and someone that you worked with for four years; especially the female teachers. They took it very hard. They were devastated.

Participant Interview Question 2

Was there a creation of a stakeholder group to shift the culture after the scandalous critical incident occurred?

Will Arnett, Buchanan School District, District Level Administrator.

Superintendent, Human Resources Director, Public Relations, and about that same time there were a handful of people who directly involved in the situation that became part of the circle when the police decided to launch an investigation. Then it moves beyond a nucleus of a half-dozen people to 12 people or a few more than a dozen who had some awareness of the issue. They suspected something was amiss but they didn't quite know what it was. After that had transpired over two weeks, then I'm brought in to the loop. They're very good to do that when they feel that it could reach the level that there would be greater public scrutiny or interest or police involvement so we can all begin thinking and strategizing.

1st Probe to Question 2. Why do you feel the stakeholder group moved beyond the half-dozen you mentioned?

Because of the police investigation. There was enough evidence on the surface to suggest something wasn’t quite right but in order for the police to delve deeper into what
was going on, they had to start questioning people. When they start questioning people
the circle grows bigger.

2nd Probe to Question 2. Describe the values each member of the coalition
brought to the team?

In any organization you have members of the team who have been together for
varying lengths of time. Charles and I have been together for seven years. We know each
other's style. I know what he expects. I know what he is comfortable with. We play off of
each other and balance each other well. Now Shirley was new and played an instrumental
part in that core instrumental group. She had only been with us for a few months at the
time. She was still learning group culture and dynamics. Prior to this, we had dealt with a
number of tragedies and crises in the organization. For those of us who have been around
for a few years, we understand the drill. Shirley wasn't as familiar with it at that time. She
was learning the group dynamic as this was playing out. Much of this investigation
touched on HR and policy. That's her domain.

3rd Probe to Question 2. How did stakeholders comply with the superintendents
efforts to establish a sense of urgency?

In our case, Charles is really open to constructive feedback and does not mind
when someone disagrees with him or feels we need to take a different approach. I can
recall several conversations as this unfolded and we sat around the table. We took what
we knew at that moment, made decisions at each point in the timeline. There was a lot of
back and forth and discussion disagreement based on what we knew at this moment.
That's a healthy dynamic when you have the luxury of time. And even when you don't
have it within these parameters to determine how much give and take there is going to be and ultimately what our response is.

Shirley Long, Buchanan School District, District Level Administrator. We looked at the situation like degrees of separation. There were some obvious names; me in my role, principal of the high school, Charles, Will, and police. The people we interviewed were her direct supervisor, somebody who reported it and possibly viewed anything that may have taken place. From there it was really trying to determine how big this could be. It started with just an incident of missing money and quickly grew to “wow, what do we really have here” but basically then where do we want to narrow or focus. The interviewing we set up to happen in a strategic manner. I had a police officer and an attorney scripting notes in the meeting. They had a union rep if the person warranted one. Parent boosters would come in. We also pulled, relatively soon, a communications team together to determine where we needed to go with the investigation and this helped craft the interview questions based on that. The stakeholder group had layers in this process and depending on where the person was at in the layer dictated what their involvement in the process was. The BOE was also involved from the start.

1st Probe to Question 2. Who created the group?

Charles and I created the group together. He's very collaborative and we worked together to create those groups. His leadership style is to allow you to have the autonomy to lead but in a situation like this, he is awesome at making sure you know that you are not alone and that he'll be by your side throughout. We're going to go through this together.
Scott Everham, Buchanan School District, School Resource Officer. Yes. From my end, it was Shirley Long, Dr. Loomis and the police. However, the union got involved because of protecting the member of the bargaining unit. Accountants were involved to look over the books.

1st Probe to Question 2. Who created the group?

I don’t know for sure but I assume it was Dr. Loomis.

Dan Devitt, Polk School District, Building Level Administrator. The initial team at the building level and actually as the situation occurred it was fairly close to the start if my second year as a principal, was the assistant principals, and the associate principal. Bear in mind that there were other issues before I came, and I had been righting a broken ship for nearly 18 months. I remember that right before the incident I had been discussing with Dr. Thompson that this was the first stretch of time where everything has been going great, we got a lot of things done. But then it quickly became a here it is, what are we going to do, type of thing. I had spent quite a bit of time the year before with my administrative team, under the guidance of Dr. Thompson, team building and determining our make-up as a group. That structuring process resulted in my ability to pull them together in an instant and say that “I need you in my office immediately.” We spent hours and hours the year before developing the make-up and structure of the team and I’m happy that role definition piece was pushed by Dr. Thompson. When this happened, I have no doubt that everyone at that point clearly understood their role. They also understood the fact that times would arise when I would assign responsibilities outside of their immediate role so that I can stretch them as a future principal. And if this incident
didn’t stretch their understanding of what it takes to be a principal, then I don’t know what would.

1st Probe to Question 2. How did you bring the teachers and students into the fold?

The students were aware of the information that was given to the parents and from what was broadcast on news sources. We made sure we had services for the students.

That day after school, the teachers were invited to an optional meeting in which they were informed of the situation. Basically, these are the facts, this is what we heard, this is what the situation is, and this is what we would like you to continue to do in the classroom. Stick with your lesson plans. That meeting happened that day after school. Dr. Thompson was on site for that meeting and we reflected after the meeting about the continuity of our message.

2nd Probe to Question 2. Was there a connection or discussion with PE folks?

Yes because many of them were close friends with her and they were obviously concerned on a different level. They wanted to meet with her and find out what she was thinking but after I spoke with Dr. Thompson, we discussed that level of appropriateness when it came to contacting her. They wanted to help but we advised them that they needed to exercise caution as well. Dr. Thompson provided a lot of guidance in this area. We told them if you make contact, you’re making it as a friend and not as an employee of Polk Central.

Cliff Epstein, Polk School District, Building Level Administrator. I would probably say it was the principal, assistant principals, and the uh...special ed. administrator. That pretty much makes up the administrative team in our building and
then I can't remember if we went to the BLT team, which would then include the division chairs. And then, from there, it included the deans, the counselors, and the social workers. That was really the first initial group.

1st Probe to Question 2. Did the superintendent have a role in the creation of the stakeholder group?

I think he was, for one, facilitating it from the highest level. He had attorneys on speed dial to just let them know what the situation was at, if we needed to have them as a resource, in regards to, you know, the staff member and what do we do with her future as a teacher. Some of the discussions were that this kid’s parents pursued negligence. I'm assuming he had conversations with attorneys about that.

2nd Probe to Question 2. Describe the values each member of the coalition brought to the team?

Um, it was probably pretty standard procedure for us and I don't mean that to sound insensitive but as far individual counselor or social workers, the kids just gravitate to certain social workers and counselors like they gravitate to certain teachers. If the counselor for X or Z walks in there, the kids who have a relationship with that counselor. For example, most of the time, if the kids have a strong relationship with me, then they are going to talk to me. That's just human nature in my opinion

3rd Probe to Question 2. Who created the group?

It’s easy to say that it has always been in place but it was modeled by Dr. Thompson and then it just became standard practice in all of the buildings. I mean it's just standard procedure for us if there is a death. If there is some crisis in general, servicing kids, those are the people you go to. The administrative team meets in the morning and
says “Alright, we need to go through this, let's notify them as a team. Where are we going to put them? How are we going to let kids get in there? Do we have enough staff to facilitate that?” Just like Dr. Thompson would have the same meeting at District office with his core team and we were the people being notified of the steps that were being taken.

**Lori Callahan, Polk School District, Building Level Administrator.** I think that I can actually go in two different directions, I think as far as the building was concerned, [uses air quotes] “we” was me and my department because it was not a classroom issue. The superintendent role was to coordinate the discipline of the staff, make sure that the building is safe; that the learning environment is respected and safe. Um, it really came from an educational perspective. “We” [uses air quotes] at the building were obviously trying to make sure that the educational component continued to take place, you know, and that was the strongest component; that her kids went to class and learned. But our role was so much different. We, as in our department, were very removed from the legal aspect of this. I felt like the district office, the superintendent's office role, was really taking the role of discipline and to make sure that it was kept totally separate from the people perspective, meaning students and staff.

*1st Probe to Question 2.* Did the superintendent have a role in the creation of the stakeholder group?

I think Dr. Thompson set it up that way in our district. Typically when there is a teacher discipline situation, the district comes in. That’s our general line of protocol in any scandalous crisis type of situation in which a teacher would be disciplined, um we kind of do the initial "it's been reported to us that x, y, z has happened" we then go to the
director. From the director, which is basically assistant to the assistant superintendent and they typically come in and interview the teacher, put the facts together, you know work with Dr. Thompson; work with the legal team...the details. And they actually implement any discipline that takes place. So they take on that side and the building really deals with the people in the building.

Pete Mitchell, Polk School District, District Level Administrator. If you look at admin chart of our district, I am the only director who reports directly to the Superintendent. I do not have a filter and I will tell you that if the day ever comes when they put me under an Assistant Sup then that is the day I go look for another job. That's not arrogance, that's recognizing that the vitality of this role is to have immediate and direct access to the powers that be. Because if I'm going to be the one to speak for you, I need to be able to speak to you and make sure I understand what you want conveyed. I can't make that happen through three different people to get us there. As a side note, the board of education is seven duly elected community members; I don't speak for them...ever. I will facilitate any discussion to speak with them but the board president speaks for the board of education. I speak for the superintendent and the district when it's important for me to do so, which is most of the time. Given that kind of proximity between my function, the superintendency and the district as a whole, that's the value that comes from being that resource. Everybody knows, with Mike's support to make everybody aware, that if we communicate, we communicate through me. And the way to sell that is to convince them that I'm taking work off your plate. I'll help you do that.
Brian Greene, Polk School District, Building Level Administrator. I wasn't really in those meetings. I really wasn't a part of all that. If those meetings happened whatever was decided came to me.

1st Probe to Question 2. Is it because you felt like it was outside of your control?

No, I would have loved to have been a part of that. I don't know if they were happening but I wasn't a part of it. They were doing a good job of handling it that way and supporting the kids but then it just became finding a sub so we got a long-term sub in there who the kids may already know who subbed her classes before. The next big meetings that I was a part of involved me, Cliff, and Stan deciding who the sub was going to be.

Participant Interview Question 3

Was an effort established that allowed for members of the educational system to create a vision for the future and shift the culture? Can you provide details or examples regarding why you feel this way?

Will Arnett, Buchanan School District, District Level Administrator. It was transparency. What can we be transparent about at this time without jeopardizing the investigation? We know our community holds us accountable for transparency. We're always asking ourselves is it time to communicate and what can we communicate. Our goal is never to prevent or inhibit communication. Were always asking can we communicate at this point and what can we communicate? I alluded to not wanting to jeopardize the investigation. We have a great working relationship with our police department and that plays out over and over again. There are half dozen different police agencies serving our demographic area. Some of them we have a great working
relationship, others we don't know quite as well. Sometimes we're developing these things as we go. Working with Buchanan Police was easy. We always defer to them. We'll ask what we can communicate that doesn't jeopardize the investigation. We also had to keep in mind that this was an individual that we had all worked with. She was a colleague of ours, we knew her well, and we liked her. There was some collegiality there that we needed to be mindful of. Charles in particular took a very conservative approach because we were dealing with someone's career and livelihood. Initial information was preliminary and it would have been premature to release information because we didn't want to jeopardize their life or career. Those were sort of our overarching guidelines as we walked through it.

**Shirley Long, Buchanan School District, District Level Administrator.** Did not answer.

**Scott Everham, Buchanan School District, School Resource Officer.** Well the person who was the focus of the investigation ended up resigning. That took a lot of the heat and urgency away from the district. They simply put it on the police. She is no longer an employee of ours. It's not our concern. It's now a police matter. They put that on to us.

**Dan Devitt, Polk School District, Building Level Administrator.** Um, I think that happened almost right from the start. The vision was to quickly get us back to a sense of normalcy at Polk Central; to get things moving back in our positive direction. Although Dr. Thompson and I knew it that this situation was a big deal and that the teacher would be fired ASAP, we wanted to communicate to the staff that this was just a little bump in the road. We knew that it could become a huge bump to them if they
treated it that way or it could be just a small bump if we choose to think of it that way. However, I don’t want you to think we weren’t considering the magnitude of the problem. Dr. Thompson was adamant that we remain transparent to the reality that this occurred and that we weren’t going to hide from it. We just refused to allow it to define us.

Cliff Epstein, Polk School District, Building Level Administrator. I think it goes back to when we initially met with the building administrative team and Dr. Thompson regarding how we were going to attack this. Our vision would be that we want this to be resolved as quickly as possible. We want the... you know, one of the biggest things, dealing with the news coverage to be over. We've got guys in trucks walking up to the front door with cameras trying to take a picture of the building or trying to interview kids. I remember repeatedly having to be outside saying, "Hey, stick to the sidewalk. That's where you can stand and preferably across the street.” So, you know, I think the vision was how do we recover from this shock to the system and get back our school back to normal as fast as possible.

1st Probe to Question 3. What were the actions of the superintendent in creating the vision?

I would probably say, and I can't speak what the exact conversations were between Dan and Mike, but from my end, Mike was always just extremely supportive and had a strong desire to know what's going on. If we needed input, if we needed suggestions he was the first person to offer “do this or try that” and did you get Pete Mitchell involved. I don’t know if you know Pete in the district, he's our PR guy, and he deals with all of the media, deals with all of that kind of stuff, FOIA, you name it. So
Mike was useful to clarify “hey what is the role of the media. Who’s allowed to talk to the media?” If I remember correctly I think Pete was the one directed by Mike to be the person who did address the news team. So the vision was simply, how do we get back to normalcy as quickly as possible and first and foremost, how do we take care of our kids. That is the first priority. And then, how do we rebuild the reputation of the building and move past this. We take a couple of steps back in the eyes of the community and the surrounding area to be on the news for something like that. And Mike has a strong reputation in the community and his guidance to us is extremely important toward repairing whatever public trust was destroyed. I know that he and Dan were in talks a lot about repairing trust and being as transparent as possible in addressing the situation.

**Lori Callahan, Polk School District, Building Level Administrator.** No. I think we entered crisis mode. I think if you asked us now how we would have handled that, I think that would have looked a little different. I think we would have had a little bit more concrete example of what that would look like. Um, but I think every crisis situation is so unique. When I think our counselors came to me and said teachers are coming down to see us and they’re crying. We're overloaded. Not only do we have students we have our fellow colleagues who are not handling this well. We would never have anticipated that. I think now going into it; we would have made sure we had that in place. I think we could tell you that various situations that occur; student is sick, student passes away, we had a fire in a home this year, student lost their entire home in the fire, and we’ve actually had two of those this year. We not only e-mailed the staff to not only let them know that a situation has happened and how to address students in your classroom who may need to see someone but we also make sure there are certain services
available to them and we say that. We never did that before. So, you know, that
experience today will be experienced different when we move forward but ...you know
what I mean?

1st Probe to Question 3. Did the superintendent seek input from stakeholders in
the educational system that were not part of the coalition?

The counseling staff absolutely had input. The first thing I do is walk in and share
the situation and I'm kind of lucky a little bit because we have one person who lives in
the district and whose kids actually went here. And then most of our counselors live in
towns very close. None of us are more than a half hour away. A lot of them supervise
things. Like one of them does a lot of athletic events, one of them is in charge of the
Interact Club. We have one who used to be the poms coach so they're very integrated
into [pause]. They have a pulse on the student population. So, if you're running a club and
you send out a text message for a game coming up, for example, you know those kids can
respond to that but parents can't respond to that. So we often times know before others. I
often times get an e-mail from one of my counselors that a situation has happened in Polk
before I'm even made aware of it through other administrators or the district office. So
I’m usually texting Dan, “Hey, there’s a situation we need to get more information.”
Sometimes we know before the district knows. And so, a lot of times we kind of debrief.
I hear what they've heard. Um, I can tell them first hand of what the district has been
made aware of because typically we've talked to somebody involved, a police officer,
someone to confirm or collaborate information, um, about what's happened. So we kind
of just talk about it and in general make decision about what needs to be done and they
have a really good pulse on, um, I like that word, of what our kids are saying and doing and what might be needed.

**Pete Mitchell, Polk School District, District Level Administrator.** Let me preface this by saying that the word “plan” is not a four letter word. You should always think with the end in mind and work backwards. If you take the time you need, when you have the time to plan communications, then it is a something that you have to think about. 80 percent of what comes at you is fine because you have already accounted for it. The other 20 percent then becomes the stuff that we have to process somewhat on the fly. But you don't have to worry about the other 80 percent because you’ve created systems to deal with the normalcy of the 80 percent, so you can just focus on this issue. That being said, there needs to be a structure in place to analyze what we have from the police, talk with our attorneys, don't rush something out, don't move away from our talking points and I'm going to be out at the building until the last TV truck pulls away and we will reassemble to discuss the next steps. Planning allows you to do that. For me, everything comes down to perception. There is no reality. It's what people think and if we can take advantage of whatever the moment gives us, to influence what they think, not spin. In this case, she's not coming back, nobody was hurt, kids will receive counseling as needed, the day will continue as normal. Another key point is that she passed every background check, state licensure exam, there's nothing to indicate that we missed something.

**Brian Greene, Polk School District, Building Level Administrator.** My personal vision was to determine if I missed something as the leader of that department. Did I miss a warning sign? So it forced me to look at my staff a little different; checking in with them a little more. And I felt like I did a good job of that. I knew them all really
well but it made me step up my game a little more where I really tried to be more active and meet with them more. I think just making sure we were there for the kids. As far as a whole school vision, I don’t feel like I was a part of that.

**Participant Interview Question 4**

Was the vision for the future communicated to all stakeholders in the educational community during the culture shift?

**Will Arnett, Buchanan School District, District Level Administrator.** Part of my role, and everybody does this, your antennae go up. As the circle grew larger, we were well aware of the influence of the rumor mill. We were constantly taking a dipstick measurement of the awareness that existed beyond the core group. That was one of the levers that helps us to determine what we are going to communicate and when we are going to communicate it. At a certain point, the investigation, the knowledge of the investigation, the number of people involved reached a critical mass. We knew that we could no longer wait before we communicated something. However, the build-up to this provided a little more time for us to listen to what we were hearing and evaluate what we were hearing and then make decisions on a communication strategy.

**1st Probe to Question 4.** Describe the style of communication that took place to communicate the vision for the future of the educational system?

We don't do anymore print communication. At that point, where we knew we couldn't wait any longer, we would communicate by e-mail. We have a scaffolded approach to electronic communication. There was a lot of interpersonal communication to what we would call key communicator groups. This includes PTO Presidents, fine art booster club at the high school. You kind of determine where you want to start and then
it’s a ripple effect. We determine whose first and then follow a chain down from who needed to know first. Then it ultimately reaches a district wide/community wide level. Everybody who we thought might receive question about this from a management perspective we provided reference points so they had the basics of information of what we thought we could communicate at that time, the Board of Education for example. They get a lot of questions from the community. So we wanted those that we thought were going to have those personal conversations to have basic information to help them so they are not caught off guard.

2nd Probe to Question 4. What were the actions of the superintendent in this step of the process?

As a team, we determine who the most influential groups are and who would answer to those groups. If Charles already has a relationship in place, communication can take on a number of different appearances depending on the relationship. If we don't particularly know a key stakeholder, we'll defer to the building leaders to give us some insight.

Shirley Long, Buchanan School District, District Level Administrator. Will is very involved with that. He will draft and have something ready as a possible release from the district. Get it drafted, have some eyes on it. He anticipated that there could be an arrest and had ideas of how to communicate that. His goal is to make sure we get out in front of things. This helps with our integrity in the community. This person is a high profile individual and rumors start flying quickly. We had to do something but there was also a conversation with their own department over there. In the meantime, we were pulling people who are involved in the investigation.
1st Probe to Question 4. What were the actions of the superintendent in this step of the process?

As we investigated this it became clear that some things could be tighter. Questions as to why money was taken home. Why that would be even remotely okay. Why would people be able to take large sums of money home and write checks out of their personal account? Why was that not questioned? Why is this stuff not thought of as odd? Until you ask those questions, it wasn't thought of as odd. People really didn't think about it being criminal. If anything, the process was extremely loose and it needed to be much tighter to protect everyone. It’s important to tighten protocols. Knowing how many people count the money, is a safe used, check in and check outs of deposits. The good news is that the parents on the musical in which evidence and records were involved, they had their hands in and were involved. We got a lot of data out of that. Why is that, what can we do better? Because the parents were so involved and knew it was loose. It was an investment on their end and ultimately led to a lot of their speculation.

Scott Everham, Buchanan School District, School Resource Officer. The district is always trying to be as transparent as possible. This situation was no different in my opinion.

1st Probe to Question 4. What were the actions of the superintendent in this step of the process?

We dealt more directly with the Director of HR, Shirley Long. Dr. Loomis was initially involved but he backed out and really permitted the HR director to conduct the investigation with us. She would meet with us to go over evidence, to go over documentation...things of that nature.
Dan Devitt, Polk School District, Building Level Administrator. After the meeting we had that first day when shared the facts of the situation, thanks to talking points created by Dr. Thompson and Pete Mitchell, there really wasn't any need to send much to staff and families beyond it. Remember that she resigned within 14 days of her arrest. Our focus with the teachers was to keep them focused on what they were supposed to be doing.

1st Probe to Question 4. What were the actions of the superintendent in this step of the process?

Dr. Thompson really pushes transparency without breaking protections of confidentiality where appropriate. In this case, as soon as we were aware of the situation, it was immediately acted upon. The teacher was never in the building again. I think she retrieved her personal effects through an escort from district office representative after hours and that escort may have been Dr. Thompson. But other than that, boom...gone, no longer employed by the district. Moreover, we took an aggressive stance to have her license revoked through the ROE.

2nd Probe to Question 4. Why do you think parents responded so well to the communication?

When Dr. Thompson hired a communication coordinator a few years back, he’ll probably tell you that a situation like this was at the core of his decision. He trusts Pete’s skillset and through a combination of this situation being so outside of what was acceptable and Pete’s communication and talking points that there was really no ability to argue what took place because we communicated early and often. We also did such an aggressive job of making sure that we were transparent in the process. The parents saw
how quickly that the relationship between the two was short term and that there wasn't much to notice before they were caught. The finger pointing never really took off.

**Cliff Epstein, Polk School District, Building Level Administrator.** I walked into some of the dance room classes and literally talked with the kids or it was the kids who were, because I remember we had another station on the stage in the auditorium where if kids they felt like they needed to come, basically in the sense that if it was a death of a staff member or a student, this is where you can come and talk and grieve and have some support; same philosophy for this situation. If kids would come in, they would have the opportunity to come and loiter around and talk to their friends and talk about, you know, in the sense the good times that we had with this teacher and how do we move forward. The counselors, social workers or whoever was in there at the time was in charge of facilitating that. It's almost as if there is a sense of grieving taking place. That first day, the kids, the females specifically were very upset. Very upset.

**1st Probe to Question 4.** What were the actions of the superintendent in this step of the process?

I know there was an e-mail sent to the staff. I'm sure Dr. Thompson helped to craft that communication and trust us to get it out. I'm also 100% sure now that we talked and addressed it at a faculty meeting. It was a quick "hey, we need you in here for 10 minutes after school."

**2nd Probe to Question 4.** How often did communication get distributed?

That would have been through e-mail or quick faculty meetings. I remember the first thing that happened when staff came into the building the day after we told them about it was that they were going off of speculation. They believed they knew where it
took place; this is what took place in that car. The speculation was trying to interpret what really took place in that vehicle. What actually took place physically between the two parties, those types of things. I don't think we actually came out and told the staff specifically, "Hey, they had sex or this was found or that was found." It was obviously inappropriate conduct being done by a staff member and a student in a vehicle. And it was that kind of thing.

**Lori Callahan, Polk School District, Building Level Administrator.** Um, I had nothing to do with what was delivered communication wise. That was a pretty big scandal and you're on the evening news, it's not a good thing. That would typically been a Pete Mitchell thing, who I know you're meeting with today. Dr. Thompson and Pete always work together to generate talking points and communication to send to the community.

**Pete Mitchell, Polk School District, District Level Administrator.** In my last district, we created a blast e-mail system. Here we created an e-mail database of 38,000 addresses. The other very powerful tool we use is the ConnectEd. When I came here they had purchased the system but had never used it. It was the first thing I did when I got here, and I'll hear none of this nonsense about only using it for snow days or for emergencies. Why would you spend $100,000 of taxpayer for two or three days a year? We use this thing for everything. I teach the principals to be judicious and thoughtful, particularly because of our size. We want people to know. I'd rather enjoy the slings of arrows saying too much, too much than not enough.

**Brian Greene, Polk School District, Building Level Administrator.** It was mostly face-to-face to be more personable with them. I didn't send anything out via e-
mail or memo regarding the incident to my team. As a team we also talked about what's going to happen when the student who was involved came back to school. There were a number of students who were resentful of him and my job was to make sure that I processed the fact that he was a kid and made a mistake with his peers. I would call down and get a social worker to come in and help as well when the topic started to resurface amongst the students.

**Participant Interview Question 5**

Were stakeholders empowered to implement the vision for the future and make changes during the culture shift? Can you provide details or examples regarding why you feel this way?

**Will Arnett, Buchanan School District, District Level Administrator.**

Empowered is not the word I would choose to use. I think that they were aware of the steps that were being taken. They were equipped to communicate based on the information they could share at the time. Equipped is a better word. We can't accurately represent all of the facts in every conversation that's happening out there, so we are equipping them so they can speak on our behalf, realizing that things may be editorialized and elaborated on. We can't ultimately control that. But if they are trustworthy individuals, if we have a relationship with them there already, some credibility that exists, we're comfortable giving them as much info as we possibly can and asking them to speak on our behalf.

**1st Probe to Question 5.** How was the success of the strategies that were implemented to be measured?
I would say that the way we would typically measure how effective our communication is by monitoring responses in a variety of mediums. That may consist of how people are reacting to information in social media. We take a proactive approach to critical or controversial and put that on Facebook, Twitter, YouTube, so that people can get the information. Inevitably, when you step into those arenas, you’re going to invite a response. Part of our measurement is monitoring the responses to a message that has been put out there; recognizing that you looking a small slice of the population that is going to respond. But it at least helps us better understand what is the reaction, what is the criticism. Is it balanced? As it reached a level of greater media attention, then certainly when they post their own stories, then as we know readers often react to those stories too and you'll see comments there as well. One of the other ways that we monitor is checking in with those on the front lines to determine what questions and comments they are getting from around the community. In general, whenever we are able to get out in advance of situations like this it's kind of like a controlled burn. We're not waiting for the fire to spread. We're creating our own fire around it so we can contain it. When we've been able to do that, inevitably the calls and responses, criticism, and questions are a little deflated. That's one of the best ways that we measure. We don't do anything to quantify it but we keep our finger on the pulse.

2nd Probe to Question 5. What were the actions of the superintendent to empower stakeholders to remove barriers to change?

We knew there was a simmering issue and that to effectively contain it; we needed to step outside of the current perimeter and draw attention to the incident. We're trying to stop a simmering issue from becoming a bigger issue by acknowledging that the
Shirley Long, Buchanan School District, District Level Administrator. I absolutely felt empowered from the start. I probably questioned myself more than anything; double checking and triple checking…making sure that anything I had in my mind as possible next steps were communicated to Charles and that he felt like I was on the right track. I was empowered to speak with attorneys and auditors. I crafted updates for the board. He allowed me to handle it with the knowledge that I'm not doing it in a vacuum.

1st Probe to Question 5. What were the actions of the superintendent to empower stakeholders to remove barriers to change?

He would tell me that I’m doing a good job, but have you checked this. He would give ideas and I would bounce back with subtle shifts. We did a lot of check-ins and he offered a lot of reassurance. Some very open conversations included his push for me to use the attorney, use the accountant. If you feel you need something, let me know and we'll get it for you. For not one minute did I ever feel like I was on my own and this was crazy, let me tell you. Wow, I can’t even believe this is happening...a 20 something year veteran and administrator but I knew immediately that this was serious and that I was going to have to take this on. It's just his leadership style. I believe he acts this way for everyone but I know for me personally it was impressive.

Scott Everham, Buchanan School District, School Resource Officer. With the economic downturn, the district was cutting back on stipends. Jobs that were traditionally given to staff had been cut. Box office, tickets, sets, all earned a stipend. As a department
head, she decided how to divvy up those stipends. In fact, she gave herself a part of every stipend since she was the department head and supervised all of them. She took a part of everyone’s stipend. So these roles that were traditionally done by paid staff members fell upon volunteers, such as booster parents. For the first time, we had direct parent involvement on a voluntary basis and so for the first time, prior to that, the chairperson and her people ran the entire production. Ticket sales, money and concessions were all handled by her department. She handled all of the money. One set of parents happened to be business owners themselves. So they initially asked for sheets to track numbers nothing existed. So they developed their own set of procedures and accounting system. So it was only recently that there was some real accounting and record keeping for ticket sales and concessions.

Dan Devitt, Polk School District, Building Level Administrator. The year before, we spent hours and hours building the philosophy of our admin team. Dr. Thompson really wanted to make sure that this happened with the building leadership team at Polk Central and made this a key part of my job and I’m happy he did it. As a group we would meet every Thursday with the first two to three hours dedicated to team building. In the afternoon we would pull in all of the department chairs. It totaled to about five hours of goals, philosophies, every Thursday. We wanted to have a common understanding of what we believe, and how we saw things. A lot of our talks that first year were on leadership. Each person is empowered to do their job. This allows me the freedom to get involved in other things, including meetings with students that would never happened if I was watching someone else do their job. I truly believe that you hire quality people, get them on the same page and let them do their job.
1st Probe to Question 5. How was the success of the strategies that were implemented to be measured?

It’s nothing something that we are looking to quantify at this point but I can tell you that we certainly consider qualitative information. At the beginning this data would come to us on daily, if not hourly basis. Between the superintendent and I, we would make decisions based off of what we know at the time and this may mean waiting to act because we don’t have enough info but we first need to know that we don’t have enough info. Ultimately, we have a standard of what key expectations are. Whether it's student expectation or staff expectations and how far are you deviating from those expectations. If they’re large deviations, then we need to do...almost think of it as least restrictive environment for special ed. If it's working we don’t need to do more. If it's not working, we need to add another piece and determine where it's not working to address the situation. I always say it's a deviation from the mean.

2nd Probe to Question 5. What data did you consider?

In this case, conversations with admin members, counselors and social workers was used as qualitative data. We looked at the number of students who came down, and determined if the conversations changed. Are they feeding off each other? Do we pull back the number of hours in the media center and auditorium? If you feel like you need to talk to your counselor, you can feel free to talk. I mean, she was a dance instructor so we routinely had a number of girls from her class who were down for an appropriate crying session but then the students involved in coming down started to dwindle over the days and weeks. Over time, we were able to note that no one was coming in to talk about the situation unless she had a new court appearance and that would cause a few students to
stop in for support. Also, division chairs talking to teachers; they had to move from initial reactions such as that's crazy, why would she do that? To her close friends in the department that needed some time to process because it was almost like a betrayal. I liken it to the stages of grief on some levels.

**Cliff Epstein, Polk School District, Building Level Administrator.** Well one big piece has kind of been...I don't know if you're aware, we had a situation with administrator and a student that was also similar. Yes, we have our fair share of bad press. So, the district as a whole brought in these tutorials. I think they're called GCN. We actually took nine tutorials. Boundaries, ethics, blood borne pathogens, discrimination, sexual harassment, you name it. We've taken the stance from in the building that, “Hey, know your boundaries.” Such as texting, what to stay away from...don't put yourself in these positions. Hey, if you’ve got a student in your room you don't have a door shut having a private conversation. Sit by the door and have the door open. If you’re a male coach and you’re coaching a female sport, put yourself in good positions. If you’re a Driver's Ed teacher don’t drive in the car with a kid by yourself.” Are you crazy? Those types of things have come out more. I'm more old school. That's the way I was brought up, so it's easier for me to talk about it with staff. I think those have all come from those types of interactions. And this was Mike’s idea. We not only had more module training but we followed it up with discussion groups about what we took away from the modules. I know we never did that before. He led us through it first and said let’s look at the various degrees of what is acceptable and see where each other stands on it. Some interesting discussion came out of it and I think that is sticking more than the modules themselves.
1st Probe to Question 5. How was the success of the strategies that were implemented to be measured?

I do feel like they have figured it out based on the conversations I have had. The fact knock on wood, for the most part, we haven't had a situation in a year or two. But we were going there at quite a clip for a while. I think they get it and if they don't it's one of those things where shame on you for not. It should be common sense.

Lori Callahan, Polk School District, Building Level Administrator. I can make that decision on my own because I have been empowered to make that decision. As a district, Dr. Thompson set us up so that the district handles the community, um [pause] confirming information. How we handle the people, the students, the staff, the parents, um really in our building comes down to the Polk Central admin. And the role I play in the building is to communicate information with them when a crisis situation happens to figure out how we're going to address that, you know whether students coming to the office or staff coming to the office or are we going to set up some type of community counseling situation. I just do it. It's just automatic.

1st Probe to Question 5. What were the actions of the superintendent to empower stakeholders to remove barriers to change?

I would say it is this way across the district and was created by Dr. Thompson at district office. However, I've been here seven years and I don't think someone ever formally told me this is how we do it. It's just how we do it. I think they trust that we know how to do our job. It's one of the things that I love about Dr. Thompson. They know kind of where their place is and how to handle what they need to handle and we do what we need to do.
Pete Mitchell, Polk School District, District Level Administrator. No, absolutely not. It is coordinated. Everyone has a role and the expectation is that the role is carried out. Let me clarify. No one works or makes major decisions in isolation. People carry out their roles as defined by the structure Dr. Thompson put into place. People are then trusted to do the job they are supposed to do but no one decides how a situation of this magnitude will be determined alone. We coordinate discourse and coaching to ensure that newcomers understand the system. Anything that is going to draw public attention, you can bet the neighbors are going to see it. Building admin must let us know so that we decide whether to ratchet it up or dial it back.

1st Probe to Question 5. How did you measure the success of the strategies that were implemented?

We live in an age where people think that everything can and should be measured and that's not necessarily true. Not everything that can be counted counts and not everything that counts can be counted. Could we have done a survey after we were done, sure we could have, but I didn't. Quite frankly in the public sector the people who agree with you, the people for whom you are valued generally aren’t the ones to go online to spout off their comments. There not the ones coming to the board meeting to give you kudos during a public comment section of the meeting because they agree with you. Why would they have to come to a board meeting? What I can say for sure is that we did everything we could to reassure, to reassure, to reassure, to reassure, [repeated four times] to control, to manage. Maybe the proof in that is that no one sued us. Also, in a communications world you can't necessarily measure accuracy to what people heard or understood as long as I can be assured that they were given the message.
Brian Greene, Polk School District, Building Level Administrator. You know even in my role now, I don't always have to have my assistant principal watching over my shoulder to see what the division chairs are doing. Like I said, I work closely with Cliff and Stan. It was very seldom that I felt like they were down there watching what I was doing.

Participant Interview Question 6

Were short term successes ever celebrated during the culture shift? Can you provide details or examples regarding why you feel this way?

Will Arnett, Buchanan School District, District Level Administrator. I don't think that we ever stopped along the way and declared that we were successful at a given point. I don't think we ever look at crisis response through that lens. For us, it really is a continuum. It’s a “here's where we are today, this is what we can communicate today, so let's communicate today” approach to the situation. This is what we think is going to happen in another week to two weeks. Let's cross that bridge when we get to it. What I would characterize as a success is where we were transparent to the expectation of our community. If we were and people said thank you for acknowledging it, then we would say, “Okay, that's a success.” Even in the midst of living up to our values that our community holds, then that’s a success. In a situation like this, which dragged on over several months, there were several points where we had a responsibility to uphold that value of transparency. Every time we felt like we could do that and say we were proactive in doing so we wouldn't pat ourselves on the back but we would take some gratification in knowing that that we held up to the community expectation in that moment. I think the other success that we wouldn't have necessarily celebrated but
acknowledged was that we became much better at internal controls, when it came to handling money, and financial transactions that involved petty cash.

**1st Probe to Question 6.** Was there ever a period of time that elapsed when momentum failed because successes weren’t celebrated? Can you provide details or examples regarding why you feel this way?

You have to view a crisis as an opportunity to improve something within the organization that maybe didn't work well before and that's what contributed to the incident. In this case, it allowed us to revisit our internal procedures and policies and take a really deep hard look at those and say how can we improve these so it never happens again. So at a certain point in the story, we say here's what we've learned from this, here’s who we can ensure this never happens again. Some people would say that’s spin control. For us, we know that it is genuine. We had learned from the mistake and had changed the internal controls from that ever happening again.

**Shirley Long, Buchanan School District, District Level Administrator.** I think there were little points in which I felt a tiny victory. Reflection along the way forced me to realize that there were times when I was glad that we had done something this way or that way because it made the step after it easier and clearer. In the bigger picture, as a team we would often breathe a sigh and acknowledge each other for the work done this far. The work had to be thorough and even though our individual roles were managed individually, we were also there to provide support for the other roles as well. There were a number of times when we leaned on each other for morale support and it was never really a celebration but it certainly was a moment to acknowledge what had been accomplished.
Scott Everham, Buchanan School District, School Resource Officer. I'd say this was more of a big long march to the end. There was no resistance from any witnesses that were involved. Everyone was very cooperative. It was very smooth and very well run.

Dan Devitt, Polk School District, Building Level Administrator. Dr.
Thompson and I wanted to make sure that we were able to congratulate the teachers for how they handled key pieces of their involvement with the students. For example, we didn't get a single call from a parent complaining that the daily routines of the students were interrupted. We acknowledged that and praise was given to the staff for handling it the best they could. We would tell them “outstanding job, way to go.” By Thursday of the following week, things had settled down. We applauded the leadership efforts to keep things as normal as possible. Dr. Thompson and the Polk Central admin team also debriefed well down the road and talked about suggestions for improvement. No one wants these things to happen but the reality is that we’re not immune from it either. I mean, we put supports in place for kids who needed it and tried to return the rest of the environment back to what it should be.

Cliff Epstein, Polk School District, Building Level Administrator. The only one that I can think of specifically that I would consider a success is just continuing with each day and making it an academic day. Instead of "hey, its gossip day in the building,” where nothing is going on curricular wise and it just turns into, “hey, did you hear about this.” I think once you got past that each day, and we got back into the curricular zone. I remember me personally thinking; well we got past that part of it. You know, half of the battle is getting the kids focused back on why they are in school.
Lori Callahan, Polk School District, Building Level Administrator. I think our administrative team as a whole, we have division chairs, I think Dan, I think all of us in our own areas around the building were able to say when we felt the situations were over and some time had passed "we're stronger because of it." I think because not only, I used the example of how close I am to my department, I think that exists all over the building. I think as a whole we have an incredibly strong resilient group of people, in light of where we've been. I think that which does not kill you makes you stronger. I think that we're more accountable to each other. We have been able to look back after time has passed to say “Holy cow! We survived that. We've made it through. Our kids are doing great. We have an awesome building and we have something to be proud of.” And just because the lesson there, just because someone in our family made a mistake doesn’t mean it’s a big pile of mistake. We're not a bad family. I think our people recognize that and they have healed from that.

1st Probe to Question 6. Was there ever a period of time that elapsed when momentum failed because successes weren’t celebrated?

Yeah and I think what’s interesting about that question is that I think it happened in two levels for me. One was our staff. I think my team’s job was to address those issues with the building staff, all of our colleagues in the classroom every day. And I'll say to you that once we got through the staff my team fell apart a little bit. I think the pressure of keeping a straight face and I don't think they had their own time to grieve. Their job was to handle the students and staff so they really kind of put their own feelings on the back burner. When we went in to focus on the day, it wasn't how are you feeling, we were talking about specific situations involving students and staff. So I think once we got
to a place where some of that was rectified and the staff wasn't coming down so much and the kids are kind of [pause] then it was they haven't dealt with it professionally. I'm sure they went home and had conversations with their spouses but they hadn't processed it from a professional angle. So they kind of had some moments where they needed to process. I have seen that in several of the crisis situations that we have had.

**Pete Mitchell, Polk School District, District Level Administrator.** The sheer logistics of the first couple of days was a huge hurdle to clear. And we were able to measure it because reporters and TV trucks stopped showing up. The reporters knew that whatever was going to happen would be provided to them via me in an organized and concise manner. There's nothing more to do here.

**Brian Greene, Polk School District, Building Level Administrator.** Yeah, I would say it was more of constant pushing forward; just grinding through it and celebrating the successes in the department. We started to create our own feel good moments in the department to give us things that we could look too and smile so we could get past the negativity.

**Participant Interview Question 7**

Did the focus for the culture shift of the educational system waiver? Can you provide details or examples regarding why you feel this way?

**Will Arnett, Buchanan School District, District Level Administrator.** There was resolve internally that there was only so much more that we could add to the story that we hadn't already told. At a point we had to say that the chapter has ended and the book had ended. Moving on was acknowledging that we had improved out internal controls and we had learned from this episode and we had felt we were going to be better.
There was an immediate need to hire someone to replace the individual. That allowed us to move on from the situation. We have a new person in that seat and we want to do everything we can to support that person. We have a new future to look forward to with the person who is in the role.

**Shirley Long, Buchanan School District, District Level Administrator.** Until we had concrete evidence we didn't know where we needed to go but we knew we wanted to thoroughly investigate this and come to resolution. Once there wasn't any question that money had disappeared, we knew exactly what the end game was and we were on the right path to get there.

**Scott Everham, Buchanan School District, School Resource Officer.** Ensuring that this situation was addressed was of the utmost importance to them. There was no wavering.

**Dan Devitt, Polk School District, Building Level Administrator.** Looking at this from a classroom teacher aspect, they’re not trained to deal with the level of emotion some students were showing. So we had to make people available. So teachers really never had to talk about it because we provided the supports for them. Teachers can teach and not deal with turmoil. They were able to do their job. Counselors and social workers felt like we respected their craft because this is what they are trained to do and we entrusted them to do it. They felt validated. Dr. Thompson made sure other schools in the district were on high alert that their services may be needed and was constantly gauging us to determine if they needed to be sent. Through the communication that went out, the support we had in place for students and staff and being transparent, I can say that we identified how we wanted this resolved and worked pretty hard to get there.
1st Probe to Question 7. Were other initiatives attempted during the shift in culture?

No. We addressed this situation along with our normal daily processes. We created the supports. Everything we needed from the Dr. Thompson and the rest of the district was provided nearly immediately. Communication to stakeholders was addressed through Pete. Personnel was addressed. Legal was addressed. We provided the correct supports until they weren't needed. We made sure the focus of the school was on educating students and we moved forward. This is a great place. We had other schools contacting us to make sure that we knew they were ready to provide additional support. Everyone rallied but in the end it was isolated to where it needed to be, Polk Central

Cliff Epstein, Polk School District, Building Level Administrator. The only time that it has ever really come up is when the next situation happened and a lot of us said “here we go again. Well we got through that first one, will we get through this one.” That kind of thing and you still go through those same protocols that we applied in this situation. 

Lori Callahan, Polk School District, Building Level Administrator. I don't feel like that happened. And I don't think it’s anything that I ever heard from counselors going in that the district didn't handle it appropriately. I think sometimes we don't necessarily get information comprehensively or quickly. I don't know if it's a lawyer issue or a respect to privacy, I'm not sure what that comes from. In the situation we're discussing, I think it had to do more with that this is a tenured teacher and we have to investigate. There's a process so I understand it at a certain level. But since we're the ones cleaning up the mess, it would have been nice to understand a clearer timeline from the district office
of where they were at in the process. For example, was she going to resign? I don't want details necessarily but where are we with this process. I would read things in the paper before I would know from the district what they'd done.

Pete Mitchell, Polk School District, District Level Administrator. Those protocols that Dr. Thompson created and put into place kept us focused and on path. And Dan Devitt was a tough nut. You knew that when he talked, he was the boss. I give him credit for keeping staff on message and keeping a lid on things. Now there are some things you just can’t control, but I don't recall anyone that was quoted that should not have been quoted. Dan was adamant about ensuring that all people respect the protocols.

Brian Greene, Polk School District, Building Level Administrator. No I don't think so, I really don't. It was very unexpected for everybody from the teacher level to the superintendent. It was really a “hey, what are we going to do, let's put together a plan.” I don't think there was any point in which anyone was ready to throw in the towel.

1st Probe to Question 7. Who kept the momentum going?

It was my responsibility in my department; I cared the most about kids in our classes and teachers in the department. It was mainly my responsibility at this level. Did the higher ups have their own hurdles? Yeah, but I assume they were dealing with the personnel part of it, the media part of it, and the legal part of it. But for me, the focus was the teachers and the kids. I felt like I needed to step up at that point.

Participant Interview Question 8

Was the vision that was created for the educational system during the culture shift achieved? Can you provide details or examples regarding why you feel this way?
Will Arnett, Buchanan School District, District Level Administrator. The best way to answer that question is to point to other similar incidents that we have had before and after and the template, the game plan is almost identical. The circumstances are different every time, but when the model remains the same, that says to us that we have found a script that works. We know how we need to approach situations like this. We are going to follow the same game plan time and time again, realizing the circumstances are going to be different but taking the transparent approach and be as forthright as we can in our decision making.

Shirley Long, Buchanan School District, District Level Administrator. It took many months to get there but when she decided to resign her position, our role in this situation became limited. However, she could see the writing on the wall and we worked to bring it to fruition.

Scott Everham, Buchanan School District, School Resource Officer. The school district was put into a good position when she did resign, because she was no longer part of the district. It's a police problems and a state's attorney problem. We don't get to tell a state's attorney how to do their job. If they feel it's a prosecutable case, we support them, if they don't feel it's prosecutable, there's nothing we can do about it. One little thing that probably threw us after we made the state's attorney aware was that making restitution was an important thing to the community. We didn't want an uproar that they didn't try to recoup the money. To try to temper it that was the offer they gave her. The amount of money that we could prove was missing due to the poor accounting and the charges were dropped. The school district could then turn to the community and
say we're not out any money and she is no longer an employee here. It's not the district's job to investigate a criminal matter.

**Dan Devitt, Polk School District, Building Level Administrator.** I truly believe it has. As you know we had a few situations after this that were close to what this situation was and as a Polk Central team, we feel like we are stronger for it.

**1st Probe to Question 8.** How did the superintendent respond when the vision that was laid out for the educational system was fully attained?

Dr. Thompson and I talked and reflected often. This was as much about a peer support network as it was to determine the best course of action. It’s lonely the higher up you go in the organization and he served as my support and sounding board for a lot of decisions. His greatest impact on the admin team was to be there to help define what our goals needed to be to return to normalcy and he reeled us in and asked for better clarity when our ideas were a bit unfocused.

**Cliff Epstein, Polk School District, Building Level Administrator.** Yeah, for that occurrence, I would say yes. Because I think the staff has learned from it, they’ve educated themselves on it, and we're still doing very well as a building. We didn't let it define us. Also, the teacher who caused the problem is no longer with us. In fact, she never returned to the building, except to clean out her desk after hours and supervised. I’m pretty sure it was Mike who escorted her through so that no one here had to deal with the fact that she was considered a friend by so many of us.

**1st Probe to Question 8.** Did it become cemented within the framework of the system?
I would say that with the support we had from Dr. Thompson and with the actions of the staff within the building, I would say that it is a yes. The more years that go by and the more transition you have with staff moving from building to building and district to district, I think the door opens up a little bit more because you don't know what education they've had on the topic because it doesn't get discussed in detail other than the mandatory tutorials. I think one thing the staff does know is that if I do something and its brought to the attention of an administrator, more than likely you're going to have a talking too! [laughter] And we're going to, you know, we're going to find out if this did happen? If it did, hey, you're flirting with disaster there or hey, let's educate you real quick on how to engage with a student or hey remember it's been...just because you had the tutorials sometimes you know how those work. You got one playing on the top over here and you just hit the space bar [taps the table]. Are you absorbing what that means? So sometimes it's good to have somebody standing in front of you that has had those difficult conversations and remember to point out that [pointing] it can happen to you, it can happen to you and it can happen to you. So put yourself in good positions and be professional.

**Lori Callahan, Polk School District, Building Level Administrator.** Yes. I think that the tangible things that were obvious is that is wasn't being discussed anymore, students weren't coming down anymore, and staff wasn't coming down anymore. These are the obvious things that we noticed. I truly believe that some of the recent experiences this building has gone through have made us stronger, closer, and more accountable to each other. It's really a feeling that I have about all of this.
1st Probe to Question 8. Did it become cemented within the framework of the system?

Oh absolutely. The district took over specific staff development as a requirement. We began the sexual harassment, ethical boundaries, and borders and GCN trainings each year. The district ramped up the trainings we were required to do. That was the lasting effect to that.

Pete Mitchell, Polk School District, District Level Administrator. With a little bit of time and distance between the incident and the end of the school year there was a palpable moment when things seemed to get back to normal. Within a few days I was not being pulled over as much, called as much, speaking to parents as much...things had ebbed. But I knew the building still had to deal with the emotional fallout with staff and students and that’s a whole other area that I can appreciate but I didn’t have a lot of involvement with that. So sure, there's a time when I think we can see pieces and roles of it wrapped up but it really depended on what your role was in the situation. I may have not had to field any questions from reports but the student services department may not be done dealing with students grieving and that emphasizes to me the empowerment we all have to understand the protocols; stick to the protocols but carry out your duties as you need to.

Brian Greene, Polk School District, Building Level Administrator. For me it was probably that final staff/team meeting of the year, the last day of school. I never felt like we were victorious or that we completed something. I just felt like I did what I needed to do. There was some pride of moving past it and seeing teachers step up for one
another. I do think it brought the whole department closer. The teachers here bonded and
stepped up for one another.

**Participant Interview Question 9**

Briefly describe how the Superintendent’s leadership style played into the culture
shift?

**Will Arnett, Buchanan School District, District Level Administrator.**

Charles's leadership style is visible, accessible, people recognize him as being decisive. So he had a small circle of people around him who offered a lot of give and take. Ultimately we realized that Charles has to own this because he is the superintendent. He allowed us to sort of have the constructive disagreement within the ranks to determine what are our steps, what are we going to communicate and acknowledging that there were times when we didn't agree along the way. But there is also respect and openness within our leadership structure so that even though we disagree we are going to support the message. It's the message that Charles conveyed to the community. He had to own that. It has to be his voice, even though there were a number of people who contributed to the decision-making process. It's the same model we follow each time something like this happens.

**Shirley Long, Buchanan School District, District Level Administrator.** He is extremely reflective and thoughtful. Any meeting you have with him and any situation you have like this he is actively listening and reflecting. I have been incredibly valued and my work has been valued. I have learned so much about the importance of reflection and a thoughtful approach. I really feel I learned that from Charles. He is non-judgmental. He wants to make sure that he has all of the information possible. He doesn’t
want to react too quickly and undo something. There are times when people might suggest getting too far out in front. However, he would tell us that “I respect all of you and what you're saying but I need to hold back a little bit.” And it has proven to be a correct decision all the time. However, when he does react, he's sure.

Scott Everham, Buchanan School District, School Resource Officer. From the very beginning, he contacted the police early on. He got us involved from the very first step and it showed a lot of transparency. His job was to get that in motion and get people in line to do their jobs. He facilitated getting that done. If they had done a separate internal investigation, it would have lasted three or four months and then to have called us in would have resulted in a possible belief that the teacher was being protected. All of that of course, is in the back of his mind and how it was going to play in the community. That didn't seem to affect his decision making process. There was a possibility of criminal activity and he got the police involved immediately. I think that is what he did to help them navigate through this. When she resigned, it gave them vindication.

Dan Devitt, Polk School District, Building Level Administrator. Dr. Thompson's leadership style is centered on his trust for the admin team to do the job that needed to get down. He hired us with a unique set of skills that are meant to balance each other. He was routinely in the loop to share his ideas and listen to ours. We found common ground on how to deal with the situation and he ensured that all the supports were in place for us to move past this. If this was two months into my first year, it may have been different. But because of Dr. Thompson’s team building and role identification expectations of the administrative team and the leg work we did as a building to create our vision for leadership, each person knew their role and executed it.
Cliff Epstein, Polk School District, Building Level Administrator. Did not answer.

Lori Callahan, Polk School District, Building Level Administrator. That’s a tough question. Dr. Thompson believes in us and he believes in what we can do. There’s a job we were hired to do and he expects that we have the skillset to get the job done. In situations like what we are discussing today, he would never micro manage us but he always knows what’s going on because he wants to pick your brain on what you’re thinking and what your next steps are? For the most part, he’ll have suggestions but he will trust your ideas first. If they don’t work, then you can certainly pick up where he left off.

Pete Mitchell, Polk School District, District Level Administrator. The man is by far the best boss I've ever had. Professionally speaking, he creates an atmosphere of trust until he can't trust you; loyalty, accountability, and an acknowledgement that we make mistakes. He is the most humble person, to a fault, that I have ever worked with. Relative to the achievement aspect of our roles, the level of credit he takes is ridiculously low. When he makes a mistake he admits it and he moves on and again, loyalty, faith, trust, and accountability. When you have that kind of culture, empowerment comes from that. Ultimately, the buck stops with him. My job is to help him communicate the best decision possible and to keep as much mud away from the guy that I can. He gives me the authority because he trusts me and I have proven myself. The couple of times I have screwed up, I can tell you that I would have fired me. Instead, he listens, says he understands and tells you to go home, feel better and we'll start again tomorrow. He gets the power of relationships.
Data Collection Summary from the Semi-Structured Interviews

Although included in details in Appendices G through N, common themes are apparent in both the superintendents’ interviews and participants’ interview responses. For the purposes of sorting the words and actions superintendents use to lead an educational organization through a culture shift following the occurrence of a scandalous critical incident, responses to the interview questions and subsequent probes are summarized and sorted first Kotter’s eight steps for change. Within each step of Kotter’s eight steps for change, the responses are then strategically grouped based on Sergiovanni’s five sources of authority. It should be noted that the responses to the interview questions include data that can cover more than one of Kotter’s eight steps for change and may be coded into one or more of Sergiovanni’s sources of authority.

Kotter’s Eight Steps for Change and the Bureaucratic Source of Authority

“Bureaucratic authority exists in the form of mandates, rules, regulations, job descriptions, and expectations” (Sergiovanni, 1992, p. 30). Responses to interview questions were examined to find indicators which demonstrate a pre-determined hierarchy of rules and regulations in the educational system which formally define the capacity of leadership. Consider the notion that leadership within the bureaucratic source of authority is established through mandates and defined roles. “Stakeholders comply or face consequences for not adhering to system expectations” (Sergiovanni, 1992, p. 36).

Step 1: Establishing a sense of urgency and the bureaucratic source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 1 and the
bureaucratic source of authority. All coded responses for step 1 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - Make sure that certain people are in the loop.
- Superintendent - We definitely created a sense of urgency and I think it was my role to be the lead for that concept.
- Participant - Involve people who are “need to know.”
- Participant - It started with those on a “need to know” basis.
- Participant - It immediately moved to pulling my admin team together.
- Participant - Forget what’s going on because your day has just been redefined.
- Participant - I notified [the police] immediately and developed a plan of action to move forward.
- Participant - In my role, I didn't have much contact with Dr. Thompson.
- Participant - [Building admin] were taking direction specifically from Dr. Thompson.

**Step 2: Creating the guiding coalition and the bureaucratic source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 2 and the bureaucratic source of authority. All coded responses for step 2 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - I don’t involve my assistant for curriculum or the business department or student services.
• Superintendent - I definitely involve my administrator for personnel because of the likelihood that this is going to go to a teacher dismissal.

• Superintendent - We're blessed to have a community relations person who is that one contact that I identified as the voice of the district.

• Superintendent - Also, the Asst. Sup for Administration and Personnel, possibly one or two of their staff members in terms of conducting the investigation, the building principal and while each situation may lend itself to bringing someone else on, generally that would be it.

• Participant - It has to be [Dr. Loomis’s] voice, even though there were a number of people who contributed to the decision-making process

• Participant - Charles and I decided who we needed to talk with who fell into the first circle, which fell into the second circle, who do we need to talk with and investigate?

• Participant - The superintendent's office role, was really taking the role of discipline and to make sure that it was kept totally separate from the people perspective, meaning students and staff.

• Participant - I have no doubt that everyone at that point clearly understood their role.

• Participant - I would probably say it was the principal, assistant principals, and the uh...special ed. administrator.
- Participant - I think [Dr. Thompson] was, for one, facilitating it from the highest level. He had attorneys on speed dial to just let them know where the situation was at.

- Participant - Dr. Thompson would have the same meeting at District office with his core team and we were the people being notified of the steps that were being taken.

- Participant - No, I would have loved to have been a part of that. I don't know if they were happening but I wasn't a part of it.

**Step 3: Developing a vision and strategy and the bureaucratic source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 3 and the bureaucratic source of authority. All coded responses for step 3 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - I'm not going to say I'm the best or worst. I think I embrace problem solving. I am unflappable.

- Superintendent - One factor is for the district to identify one individual whose job it is to scour the internet, scour newspapers, radio, television, and collect record, videotape any public report about it and to create both a paper and electronic album for us to review daily.

- Superintendent - If the newspapers call or camera crews come to the school or whatever the case may be, there is one person in this district that is the assigned voice.
- Superintendent - Their job is to lay out the protocols to the media sources. They’ll tell them that they are allowed to show up at this high school, they have a right to be across the street with a camera.

- Participant - Will is very involved with that. He will draft and have something ready as a possible release from the district. Get it drafted, have some eyes on it

- Participant - That's always my role in the building to define and give examples of how and what to say and do. What signs to look for and how to redirect them.

- Participant - We want the... you know, one of the biggest things, dealing with the news coverage to be over.

- Participant - I think the vision was how do we recover from this shock to the system and get back our school back to normal as fast as possible.

- Participant - So Mike was useful to clarify "hey what is the role of the media. Who’s allowed to talk to the media?"

- Participant - He kind of laid out that he didn't want us to mention anything yet, but it was probably going to be breaking in the news a few hours down the road.

- Participant - As far as a whole school vision, I don't feel like I was a part of that.

Step 4: Communicating the change vision and the bureaucratic source of authority. The following statements represent a sampling of coded responses to the
posed interview questions and subsequent probes specific only to step 4 and the bureaucratic source of authority. All coded responses for step 4 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - While initially I or the board president may attend that conference, after the first two it will be the Director of Communications, but prior to that, there has to be a personal message delivered to staff, preferable within 24 hours of learning of the incident.

- Superintendent - Now we are going back to the staff and we're providing them all of them with professional development and we are deliberately scheduling an assembly or some instructional time for kids on protecting themselves.

- Participant - Um, I had nothing to do with what was delivered communication wise.

- Participant - Nine times out of ten, that communication would typically come from Pete Mitchell.

- Participant - So Mike directed me to work very closely with Pete Mitchell in regard to what would be distributed via ConnectEd.

- Participant - I look at myself in this building as kind of the one that people think of as having a heavy hand, the one who can have a difficult conversation.

- Participant - I literally came out and planted myself here underneath the marquee out front; keeping in mind that the media can only come on to the
public part of the property, they could not come into the building or approach the building.

**Step 5: Empowering employees for broad-based action and the bureaucratic source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 5 and the bureaucratic source of authority. All coded responses for step 5 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - None
- Participant - I literally came out and planted myself here underneath the marquee out front; keeping in mind that the media can only come on to the public part of the property, they could not come into the building or approach the building.

**Step 6: Generating short-term wins and the bureaucratic source of authority.**

The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 6 and the bureaucratic source of authority. All coded responses for step 6 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - None
- Participant - In this case, as soon as we were aware of the situation, it was immediately acted upon. The teacher was never in the building again.
- Participant - Moreover, we took an aggressive stance to have her license revoked through the ROE.
• Participant - We didn't get a single call from a parent complaining that the daily routines of the students were interrupted.

• Participant - The finger pointing never really took off.

• Participant - I don't recall anyone that was quoted that should not have been quoted.

Step 7: Consolidating gains and producing more change and the bureaucratic source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 7 and the bureaucratic source of authority. All coded responses for step 7 are included in their entirety and can be reviewed in Appendix G through Appendix N.

• Superintendent – None.

• Participant - They were saying things like, “you shouldn't do that with a student.”

• Participant - We began the sexual harassment, ethical boundaries, and borders and GCN trainings. The district ramped up the trainings we were required to do.

• Participant - Yes, due in large part to Dr. Thompson’s expectation that we ensure the staff is educated on how to behave in the future.

• Participant - So, the district as a whole brought in these tutorials. I think they're called GCN. We actually took nine tutorials. Boundaries, ethics, blood borne pathogens, you name it. Discrimination, sexual harassment.
- Participant - They did implement the videos and training modules and actually discussed the training modules in our staff meetings.

**Step 8: Anchoring new approaches in the culture and the bureaucratic source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 8 and the bureaucratic source of authority. All coded responses for step 8 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent – None.

- Participant - I think the other success that we wouldn't have necessarily celebrated but acknowledged was that we became much better at internal controls, when it came to handling money, and financial transactions that involved petty cash.

- Participant - In this case, it allowed us to revisit our internal procedures and policies and take a really deep hard look at those and say how can we improve these so it never happens again.

- Participant - The best way to answer that question is to point to other similar incidents that we have had before and after and the template, the game plan is almost identical.

- Participant - We go through leading assemblies every fall based on grade level and there’s a clear understanding on who they can go to for support, between the Student Services Office, meaning Dean Social Worker, and Counselor.
Included in Table 9 are the total occurrences of bureaucratic authority references in steps 1 through 8, in addition to percentages, which were submitted by interviewed stakeholders. The largest number of coded references was 39 and were identified in step 1 of Kotter’s eights steps for change. This accounts for 30% of the references coded to Sergiovanni’s bureaucratic source of authority. In addition, 28% of the 526 coded references were applied to the bureaucratic source of authority.

Table 9

Breakdown of Coded References for Bureaucratic Authority and Kotter’s Eight Steps for Change

<table>
<thead>
<tr>
<th>Step</th>
<th>Bureaucratic Authority</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1</td>
<td>39</td>
<td>30%</td>
</tr>
<tr>
<td>Step 2</td>
<td>27</td>
<td>20%</td>
</tr>
<tr>
<td>Step 3</td>
<td>29</td>
<td>22%</td>
</tr>
<tr>
<td>Step 4</td>
<td>11</td>
<td>8%</td>
</tr>
<tr>
<td>Step 5</td>
<td>1</td>
<td>1%</td>
</tr>
<tr>
<td>Step 6</td>
<td>10</td>
<td>8%</td>
</tr>
<tr>
<td>Step 7</td>
<td>7</td>
<td>5%</td>
</tr>
<tr>
<td>Step 8</td>
<td>8</td>
<td>6%</td>
</tr>
<tr>
<td>Total</td>
<td>132</td>
<td></td>
</tr>
<tr>
<td>Percentage</td>
<td></td>
<td>28%</td>
</tr>
</tbody>
</table>

Word Frequency – Bureaucratic Source of Authority

Employing a word frequency query through the QSR NVivo 10 statistics package yielded the following table that includes the top ten words most frequently used in interview responses that were coded to the common theme of bureaucratic authority. The identified words are weighted based on an algorithm that associates the words with other like words in the program database. Although not specifically used 425 times, words
similar to the highest rated word “act” were noted a total of 425 times in interview responses.

Table 10

Word Frequency Table – Bureaucratic Authority and Kotter’s Eight Steps for Change

<table>
<thead>
<tr>
<th>Word</th>
<th>Count</th>
<th>Weighted Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acted</td>
<td>425</td>
<td>2.02</td>
</tr>
<tr>
<td>activity</td>
<td>387</td>
<td>1.98</td>
</tr>
<tr>
<td>happened</td>
<td>210</td>
<td>1.72</td>
</tr>
<tr>
<td>communicate</td>
<td>333</td>
<td>1.51</td>
</tr>
<tr>
<td>Whole</td>
<td>185</td>
<td>1.26</td>
</tr>
<tr>
<td>Going</td>
<td>263</td>
<td>1.20</td>
</tr>
<tr>
<td>meeting</td>
<td>119</td>
<td>1.15</td>
</tr>
<tr>
<td>Make</td>
<td>214</td>
<td>1.14</td>
</tr>
<tr>
<td>Moved</td>
<td>243</td>
<td>1.01</td>
</tr>
<tr>
<td>Point</td>
<td>209</td>
<td>1.01</td>
</tr>
</tbody>
</table>

Superintendent Actions – Bureaucratic Source of Authority

Included below are actions described in interview responses that can be directly related to the superintendent of the educational system. The actions are first categorized by superintendent responses and then by responses from other participants. Criteria for identifying actions are based on the response specifically referencing the superintendent of the educational system.

Superintendent actions – Step 1 – Bureaucratic source of authority.

- Superintendent - In the very early stages, particularly if it involves a criminal investigation, you can’t create it in a widespread way across the system; you don’t want to inform them that you're creating a sense of urgency. You document things and make sure certain people are in the loop.
• Superintendent - We definitely created a sense of urgency and I think it was my role to be the lead for that concept. I think, and I'm just referencing my notes, I think once you recognize and appreciate the impact that the source of the information can have on the matter, the second thing to do is to get legal counsel involved.

• Participant - From the very beginning, [Dr. Loomis] contacted the police early on. [Dr. Loomis] got us involved from the very first step and it showed a lot of transparency. [Dr. Loomis's] job was to get that in motion and get people in line to do their jobs. [Dr. Loomis] facilitated getting that done. If they had done a separate internal investigation, it would have lasted 3 or 4 months and then to have called us in would have resulted in a possible belief that the teacher was being protected. All of that of course, is in the back of his mind and how it was going to play in the community. That didn't seem to affect his decision making process. There was a possibility of criminal activity and he got the police involved immediately.

• Participant - I would say there was a sense of urgency. And definitely a sense of urgency, not only to rectify the immediate situation of you know, do you need to remove the teacher from the building, are students safe, but how do we clean up, how do we you know once we remove the situation, um how do we, um, focus on you know maintaining an orderly learning environment. I think this was really Dr. Thompson’s focus.

• Participant - My first contact regarding the situation was from Dr. Thompson. He basically said, we have a Polk Central teacher who was arrested. I just
assumed drunk driving or something to that affect. When he told me who the teacher was and what the situation was, I said okay, just a second, go back and start over because now I need to get a different frame of mind because we're talking about something completely different. This is school related; it's going to directly impact what happens in the building.

- Participant - So that was my first contact regarding the situation and that was basically almost at the point of “okay, we need to get a sub in the room because she's not going to be here today.” I methodically worked out a plan of action with Dr. Thompson and determine the best initial steps.

- Participant - Initially, [Dr. Thompson] let me process through a number of steps and we really tried to hash out scenarios on how it would unfold. He laid out some clear guidelines on things that absolutely must happen, especially when it came to meeting with the media.

- Participant - Because of Dr. Thompson’s team building and role identification expectations of the admin team and the leg work we did as a building to create our vision for leadership, each person knew their role and executed it.

- Participant - We were actually brought in very early on. That’s one of the things that the school district and Dr. Loomis tries to do is get the police involved at the first sign of impropriety.

Superintendent actions – Step 2 – Bureaucratic source of authority.

- Superintendent - We definitely created a sense of urgency and I think it was my role to be the lead for that concept. I think, and I'm just referencing my notes, I think once you recognize and appreciate the impact that the source of
the information can have on the matter, the second thing to do is to get legal counsel involved.

- Participant - From that point, Charles and I decided who we needed to talk with who fell into the first circle, which fell into the second circle, who do we need to talk with and investigate? We decided to have a police officer in the room and decided who we needed to interview. So we created a schedule and within a week or two we had interviewed everyone we needed to.

- Participant - From the director, which is basically assistant to the assistant superintendent and they typically come in and interview the teacher, put the facts together, you know work with Dr. Thompson; work with the legal team...the details.

- Participant - Yeah, I would say. Everything we needed from the Dr. Thompson and the rest of the district was provided nearly immediately.

- Participant - I think he [Dr. Thompson] was, for one, facilitating it from the highest level. He had attorneys on speed dial to just let them know what the situation was at, if we needed to have them as a resource, in regards to, you know, the staff member and what do we do with her future as a teacher.

- Participant - They did so the next morning. However, whenever it was, we immediately convened around the superintendent’s conference room, I believe it was the next morning, to determine what we will do and say.

**Superintendent actions – Step 3 – Bureaucratic source of authority.**

- Superintendent - I think a couple of good things going for me. I'm not going to say I'm the best or worst. I think I embrace problem solving. I am unflappable.
• Superintendent - So in promoting a sense of urgency, the lawyers are on standby and a third factor, which I think probably aligned with the study that you're referencing is for the district to identify one individual whose job it is to scour the internet, scour newspapers, radio, television, and collect record, videotape any public report about it and to create both a paper and electronic album for us to review daily.

• Superintendent - If the newspapers call or camera crews come to the school or whatever the case may be, there is one person in this district that is the assigned voice.

• Participant - From the very beginning, he contacted the police early on. He got us involved from the very first step and it showed a lot of transparency. His job was to get that in motion and get people in line to do their jobs. He facilitated getting that done. If they had done a separate internal investigation, it would have lasted three or four months and then to have called us in would have resulted in a possible belief that the teacher was being protected. All of that of course, is in the back of his mind and how it was going to play in the community. That didn't seem to affect his decision making process. There was a possibility of criminal activity and he got the police involved immediately.

• Participant - The superintendent role was to coordinate the discipline of the staff, make sure that the building is safe; that the learning environment is respected and safe. Um, it really came from an educational perspective.

• Participant - I think Dr. Thompson set it up that way in our district. Typically when there is a teacher discipline situation, the district comes in. That’s our
general line of protocol in any scandalous crisis type of situation in which a teacher would be disciplined, um we kind of do the initial “it's been reported to us that x, y, z has happened” we then go to the director.

- Participant - So Mike directed me to work very closely with Pete Mitchell in regard to what would be distributed via ConnectEd.

- Participant - They wanted to help but we advised them that they needed to exercise caution as well. Dr. Thompson provided a lot of guidance in this area. We told them if you make contact, you're making it as a friend and not as an employee of Polk Central.

- Participant - It’s easy to say that it has always been in place but it was modeled by Dr. Thompson and then it just became standard practice in all of the buildings. I mean it's just standard procedure for us if there is a death. If there is some crisis in general, servicing kids, those are the people you go to.

- Participant - I think it goes back to when we initially met with the building administrative team and Dr. Thompson regarding how we were going to attack this. Our vision would be that we want this to be resolved as quickly as possible.

**Superintendent actions – Step 4 – Bureaucratic source of authority.**

- Superintendent - While initially I or the board president may attend that conference, after the first two it will be the Director of Communications, but prior to that, there has to be a personal message delivered to staff, preferable within 24 hours of learning of the incident.
• Superintendent - Now we are going back to the staff and we're providing them all of them with professional development and we are deliberately scheduling an assembly or some instructional time for kids on protecting themselves.

• Participant - We made sure we had services for the students. That day after school, the teachers were invited to an optional meeting in which they were informed of the situation. Basically, these are the facts, this is what we heard, this is what the situation is, and this is what we would like you to continue to do in the classroom. Stick with your lesson plans. That meeting happened that day after school. Dr. Thompson was on site for that meeting and we reflected after the meeting about the continuity of our message.

• Participant - So John directed me to work very closely with Pete Mitchell in regard to what would be distributed via ConnectEd.

Superintendent actions – Step 5 – Bureaucratic source of authority.

• None

Superintendent actions – Step 6 – Bureaucratic source of authority.

• Participant - I think she retrieved her personal effects through an escort from district office representative after hours and that escort may have been Dr. Thompson. But other than that, boom...gone. No longer employed by the district.

Superintendent actions – Step 7 – Bureaucratic source of authority.

• Participant - Yes, due in large part to Dr. Thompson’s expectation that we ensure the staff is educated on how to behave in the future. It may have been
for liability purposes as well but they were an important aspect of moving forward.

Superintendent actions – Step 8 – Bureaucratic source of authority.

- None

Kotter’s Eight Steps for Change and the Psychological Source of Authority

Sergiovanni (1992) stated that an alternate source of authority might be, “follow me because I will make it worth your while if you do” (p. 30). “Sometimes perceived as the most popular way to get things done in educational systems, psychological authority is expressed in the form of motivation technology, coupled with both interpersonal skills and human relations” (pp. 30 & 36). Within this source of authority, stakeholder groups comply because of the establishment of a congenial environment combined with both intrinsic and extrinsic rewards.

Step 1: Establishing a sense of urgency and the psychological source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 1 and the psychological source of authority. All coded responses for step 1 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - The [Polk School District] did not come under heavy scrutiny, did not come under the criticisms that earlier incidents may have generated.

- Superintendent - One of maybe the most prominent factors from my experiences is the source of the information.
• Superintendent - The emotion and the secondary agendas of the individual can heavily influence the impact on the district.

• Superintendent - One of my first phone calls was to the child’s mother. I explained to her that I want to come and I want to talk and I want to meet.

• Participant - Dr. Thompson serves as the glue between six schools and typically will ensure that other buildings are on high alert.

Step 2: Creating the guiding coalition and the psychological source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 2 and the psychological source of authority. All coded responses for step 2 are included in their entirety and can be reviewed in Appendix G through Appendix N.

• Superintendent - We’re not meeting every day, were meeting every other hour. After each meeting, we’re saying, “Principal get back to the work of your building and report back in two hours. Let us know if kids are aware of this? Is staff aware of this? How is this impacting? Are kid’s high fiving? Do you have the supports?

• Participant - Charles and I have been together for 7 years. We know each other's style. I know what he expects. I know what he is comfortable with. We play off of each other and balance each other well.

• Participant - We have developed a wonderful rapport and working relationship with the school district.
• Participant - He remained a constant support to us offering professional support to my admin team, pushing extra services from around the district our way.

• Participant - Again, putting the right admin together is Mike’s doing. He strives to provide balance so we are an asset to each other.

Step 3: Developing a vision and strategy and the psychological source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 3 and the psychological source of authority. All coded responses for step 3 are included in their entirety and can be reviewed in Appendix G through Appendix N.

• Superintendent - In this situation, we were always telling a clear story and the communication for that story happened over months, so we refresh people on the chapters that have already been told.

• Superintendent - Regardless of the outcome, this teacher is probably going to go through hell and to a degree you have to go through it with them and hold his or her hand until it becomes apparent that, the with all due respect, he or she belongs in hell.

• Superintendent - You get to your principal and you work with him and HR to hire the very best substitute teacher you’ve got, hopefully someone who is familiar with the building, knows the kids, is trusted by the kids, is familiar with their faces. They can walk in into a bit of a firestorm, and we won’t know at that point if they are going to be there for a week or the rest of the year.
• Superintendent - Because my purpose in calling the family is what support can we provide to your child and to you. When you have a chance to talk to your family about this, tell us when we can sit down and talk to work together because some families aren’t going to send their child back to school because it’s too difficult to confront the questions.

• Participant - My personal vision was to determine if I missed something as the leader of that department.

• Participant - In our case, Charles is really open to constructive feedback and does not mind when someone disagrees with him or feels we need to take a different approach. I can recall several conversations as this unfolded and we sat around the table.

• Participant - We took what we knew at that moment, made decisions at each point in the timeline.

• Participant - Sometimes we're developing these things as we go. Working with Buchanan Police was easy. We always defer to them. We'll ask what we can communicate that doesn't jeopardize the investigation.

• Participant - Charles in particular took a very conservative approach because we were dealing with someone's career and livelihood.

• Participant - Not only do we have students we have our fellow colleagues who are not handling this well.

**Step 4: Communicating the change vision and the psychological source of authority.** The following statements represent a sampling of coded responses to the
posed interview questions and subsequent probes specific only to step 4 and the psychological source of authority. All coded responses for step 4 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - For the most part, we do communication well in this district. While Will can describe something better than anyone out there, a bad decision is still a bad decision and there isn't much he can do to improve it. What he does well is spot those holes and acknowledge those holes exist.

- Superintendent - In this situation, we were always telling a clear story and the communication for that story happened over months, so we refresh people on the chapters that have already been told.

- Superintendent - What we do is we keep an eye on the last three pieces of communication that went out as we create the current piece of communication.

- Superintendent - Transparency is important. But a caveat I give is that there transparency exists to certain a degree. We do not have to be transparent to the point of being naked.

- Superintendent - You need to be transparent but guarded. You’re saying, “I'm not going to be able to answer all your questions”, reporter, “because you know before you ask them that it's a violation of personnel law for me to answer that.” But I'm also not going to leave you in the cold.

- Participant - There was a lot of interpersonal communication to what we would call key communicator groups. This includes PTO Presidents, fine art booster club at the high school.
• Participant - You kind of determine where you want to start and then it’s a ripple effect. We determine whose first and then follow a chain down from who needed to know first. Then it ultimately reaches a district wide/community wide level.

• Participant - This included information that children are safe, that you should talk to your child because they are going to have questions about trusting adults.

• Participant - So it was that time that it came closer that it was going to start breaking, I went back to Mr. Devitt and said “Hey, Dan, you know what, I’d rather they hear it from, from us, rather than hear it from the internet or somebody who calls.

• Participant - The original message that Dr. Thompson and I crafted would have been sent through Mr. Devitt to his families in the Polk Central system and the way it happens is via the blast voicemail/e-mail system called ConnectEd.

• Participant - For me, everything comes down to perception. There is no reality. It’s what people think and if we can take advantage of whatever the moment gives us, to influence what they think, not spin.

Step 5: Empowering employees for broad-based action and the psychological source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 5 and the psychological source of authority. All coded responses for step 5 are included in their entirety and can be reviewed in Appendix G through Appendix N.
• Superintendent - I think it's having the ability to multi-task on a lot of different things and walk into a room and say have you thought of this and have you thought of that, what's happening here. If the answers that you're getting are solid, then it gives you confidence. If the answers you are getting are shaky then you need to get closer to that fire and pay much more attention.

• Superintendent - If I walk into a room with Shirley and I ask six questions and I get six answers quickly and confidently that resonate with me and are logical and solid, then we’re good. If there seems to be a little queasiness on it or they are not well thought out, I might say don't go any farther on that until we can sit down and process or I'll say get me these five pieces of information then come back to me.

• Participant - If we don't particularly know a key stakeholder, we'll defer to the building leaders to give us some insight.

• Participant - And never at any time did we come in one morning and sit down with Shirley to say Dr. Loomis wants us to go this way.

• Participant - Wherever the evidence leads you, we support you.

• Participant - We also make sure there are certain services available to [adults] and we say that. We never did that before.

• Participant - They know I care genuinely about [my staff] as people. I always put them first; I always put their families first.

• Participant - I truly believe that you hire quality people, get them on the same page and let them do their job.
- Participant - Mike was always confident in how we were going to handle it, but also very interested on being routinely updated with these situations so he had the information to pass on to whoever needed it.

**Step 6: Generating short-term wins and the psychological source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 6 and the psychological source of authority. All coded responses for step 6 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - When dealing with a scandal, it has to be that underlying gratification that you were able to move yourself forward.

- Superintendent - I don't want to outwardly throw a party but good leadership is all about knowing that you made a decision with the best information at the time and that decision landed your district in a better position than where you were yesterday.

- Superintendent - So yes, we do celebrate those successes and in this specific case, it had everything to do with the communication that we put out but it had to be humble at the same time.

- Superintendent - There is no celebration. What exists is a deliberate quiet word between myself and individually with each of the core group members when I'm back in the building or the board president and just to people who you knew were having a particularly hard time.

- Superintendent - The celebration is that your individual relationships and admin member’s relationship with their staff carried us. As Principal, you
need to know that I know that. When you talk to those people and I stood with you, the trust I had with you carried us.

- Participant - I think time was a key component of having the building heal and be able to move forward from that.
- Participant - Dr. Thompson and I wanted to make sure that we were able to congratulate the teachers for how they handled key pieces of their involvement with the students.
- Participant - We applauded the leadership efforts to keep things as normal as possible.
- Participant - I think the staff appreciated the consistency that we tried to provide.
- Participant - I think they appreciated that occasional, “Hey, you guys did a nice job with how you handled that and the teacher was an idiot for even thinking about crossing that line.”

Step 7: Consolidating gains and producing more change and the psychological source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 7 and the psychological source of authority. All coded responses for step 7 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - Crisis is something that establishes you quite well because people want to come together and see how your metal is being tested in that situation.
• Superintendent - Establishing consistency is important so that the community recognizes that if you make a mistake that you are willing to admit it.

• Superintendent - I think there is a natural impatience that you have to resist. Impatience is going to land you in a bad spot. You have to let it run its course.

• Participant - There was a resolve internally that there was only so much more that we could add to the story that we hadn't already told. At a point we had to say that the chapter has ended and the book had ended.

• Participant - Once we got through the staff my team fell apart a little bit. I think the pressure of keeping a straight face and I don't think they had their own time to grieve.

• Participant - But for me, the focus was the teachers and the kids. I felt like I needed to step up at that point.

• Participant - Those protocols that Dr. Thompson created and put into place kept us focused and on path.

Step 8: Anchoring new approaches in the culture and the psychological source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 8 and the psychological source of authority. All coded responses for step 8 are included in their entirety and can be reviewed in Appendix G through Appendix N.

• Superintendent - It's not for me to determine that. First of all, in life it’s beautiful to have closure, put a bow on the package and seal it. It's my belief
that in complex issues, that often the truth is never known and it doesn’t wrap-up that nicely for you.

- Participant - Dan did an effective job of saying "you know you've got to do these trainings but we also need to understand how it impacts us. Let's talk a little bit about why it's important to know boundaries with kids.”

- Participant - Dr. Thompson had us take the training modules to another level through a discussion at staff meetings and we had some interesting discussions regarding the gray area interpretation of what is appropriate and inappropriate.

- Participant - This has been the most difficult experience in my career but it's also the biggest opportunity for me to step up and be a true leader.

- Participant - It was my responsibility in my department; I cared the most about kids in our classes and teachers in the department.

Included in Table 11 are the total occurrences of psychological source of authority references in steps 1 through 8, in addition to percentages, which were submitted by interviewed stakeholders. The largest number of coded references was 32 and were identified in step 3 of Kotter’s eights steps for change. This accounts for 24% of the references coded to the Sergiovanni’s bureaucratic authority. In addition, 19% of the 526 coded references were applied to the bureaucratic source of authority.
Table 11

*Breakdown of Coded References for Psychological Authority and Kotter’s Eight Steps for Change*

<table>
<thead>
<tr>
<th>Step</th>
<th>Psychological Authority</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>10</td>
<td>7%</td>
</tr>
<tr>
<td>2</td>
<td>8</td>
<td>6%</td>
</tr>
<tr>
<td>3</td>
<td>32</td>
<td>24%</td>
</tr>
<tr>
<td>4</td>
<td>29</td>
<td>21%</td>
</tr>
<tr>
<td>5</td>
<td>26</td>
<td>19%</td>
</tr>
<tr>
<td>6</td>
<td>15</td>
<td>11%</td>
</tr>
<tr>
<td>7</td>
<td>8</td>
<td>6%</td>
</tr>
<tr>
<td>8</td>
<td>8</td>
<td>6%</td>
</tr>
<tr>
<td>Total</td>
<td>136</td>
<td></td>
</tr>
<tr>
<td>Percentage</td>
<td></td>
<td>29%</td>
</tr>
</tbody>
</table>

*Word Frequency – Psychological Source of Authority*

Employing a word frequency query through the QSR NVivo 10 statistics package yielded the following table that includes the top ten words most frequently used in interview responses that were coded to the common theme of psychological source of authority. The identified words are weighted based on an algorithm that associates the words with other like words in the program database. Although not specifically used 361 times, words similar to the highest rated word “communication” were noted a total of 361 times in interview responses.
Table 12

Word Frequency Table – Psychological Authority and Kotter’s Eight Steps for Change

<table>
<thead>
<tr>
<th>Word</th>
<th>Count</th>
<th>Weighted Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>communication</td>
<td>361</td>
<td>1.82</td>
</tr>
<tr>
<td>Need</td>
<td>92</td>
<td>1.78</td>
</tr>
<tr>
<td>Events</td>
<td>305</td>
<td>1.54</td>
</tr>
<tr>
<td>activity</td>
<td>336</td>
<td>1.53</td>
</tr>
<tr>
<td>Going</td>
<td>260</td>
<td>1.15</td>
</tr>
<tr>
<td>happened</td>
<td>188</td>
<td>1.08</td>
</tr>
<tr>
<td>Group</td>
<td>119</td>
<td>1.06</td>
</tr>
<tr>
<td>District</td>
<td>41</td>
<td>1.04</td>
</tr>
<tr>
<td>Whole</td>
<td>184</td>
<td>1.01</td>
</tr>
<tr>
<td>constructive</td>
<td>230</td>
<td>0.99</td>
</tr>
</tbody>
</table>

Superintendent Actions – Psychological Source of Authority

Included below are actions described in interview responses that can be directly related to the superintendent of the educational system. The actions are first categorized by superintendent responses and then by responses from other participants. Criteria for identifying actions are based on the response specifically referencing the superintendent of the educational system.

Superintendent actions – Step 1 – Psychological source of authority.

- Superintendent - In the situation we referencing, one of my first phone calls was to the child’s mother. I explained to her that I want to come and I want to talk and I want to meet. I also recognized that given the circumstances that may attract more attention from professional colleagues. She could not have been more appreciative of the call and respectfully but pretty directly asked, don't come. She wanted the opposite as the other parent I mentioned earlier.
Participant - Dr. Thompson serves as the glue between six schools and typically will ensure that other buildings are on high alert. Other schools will e-mail and say “hey if you need extra social workers and counselors let us know.”

**Superintendent actions – Step 2 – Psychological source of authority.**

- Superintendent - We’re not meeting every day, were meeting every other hour. After each meeting, we’re saying, “Principal get back to the work of your building and report back in two hours.” Let us know if kids are aware of this? Is staff aware of this? How is this impacting? Are kid’s high fiving? Do we have the supports, because the other thing that we have is a crisis team ready to be deployed?”

- Participant - Well certainly well in advance of what transpired. In any organization you have members of the team who have been together for varying lengths of time. Charles and I have been together for 7 years. We know each other's style. I know what he expects. I know what he is comfortable with. We play off of each other and balance each other well.

- Participant - [Dr. Loomis] can speak to why he does it but my impression is that he doesn't want to give the appearance that there's some type of cover-up by the school.

- Participant - However, he remained a constant support to us offering professional support to my admin team, pushing extra services from around the district our way but things were beginning to settle down.
• Participant - Again, putting the right admin together is Mike’s doing. He strives to provide balance so we are an asset to each other and then under Dan’s leadership at the building level we just get things resolved, through the support of the leadership at District Office.

Superintendent actions – Step 3 – Psychological source of authority.

• Superintendent - In this situation, we were always telling a clear story and the communication for that story happened over months, so we refresh people on the chapters that have already been told. So we said this and now we said this and avoiding those who are trying to catch you in inconsistencies in what you said. What we do is we keep an eye on the last three pieces of communication that went out as we create the current piece of communication.

• Superintendent - Another, if I can go on with this, because the way you framed it seems to align, you get to your principal and you work with him and HR to hire the very best substitute teacher you've got, hopefully someone who is familiar with the building, knows the kids, is trusted by the kids, is familiar with their faces. They can walk in into a bit of a firestorm, and we won’t know at that point if they are going to be there for a week or the rest of the year.

• Superintendent - Because my purpose in calling the family is what support can we provide to your child and to you. When you have a chance to talk to your family about this, tell us when we can sit down and talk to work together because some families aren’t going to send their child back to school because it’s too difficult to confront the questions.
Participant - If you have the supports in your building, great. All you have to do is call me and I'll have thirty social workers from the other 29 buildings in this district under your direction and the direction of your AP for Student Services.

Participant - In our case, Charles is really open to constructive feedback and does not mind when someone disagrees with him or feels we need to take a different approach. I can recall several conversations as this unfolded and we sat around the table.

Participant - Charles in particular took a very conservative approach because we were dealing with someone's career and livelihood. Initial information was preliminary and it would have been premature to release information because we didn't want to jeopardize their life or career. Those were sort of our overarching guidelines as we walked through it.

Participant - [Charles] is non-judgmental. He wants to make sure that he has all of the information possible. He doesn’t want to react too quickly and undo something. There are times when people might suggest getting too far out in front. However, he would tell us that “I respect all of you and what you're saying but I need to hold back a little bit.” And it has proven to be a correct decision all the time. However, when he does react, he's sure.

Participant - Yes because many of them [PE teacher] were close friends with her and they were obviously concerned on a different level. They wanted to meet with her and find out what she was thinking but after I spoke with Dr.
Thompson, we discussed that level of appropriateness when it came to contacting her.

- Participant - The district, Dr. Thompson, constantly asked if we need further assistance, do you need other social workers or counselors.

- Participant - Mike is a resource for us.

**Superintendent actions – Step 4 – Psychological source of authority.**

- Superintendent - Transparency is important. But a caveat I give is that there transparency exists to certain a degree. We do not have to be transparent to the point of being naked. It’s not everyone’s right to see us naked and it’s not always pretty to see us naked.

- Superintendent - And, it's not that you’re battening down the hatches because that’s the opposite; you need to be transparent but guarded. You’re saying, “I'm not going to be able to answer all your questions”, reporter, “because you know before you ask them that it's a violation of personnel law for me to answer that.” But I'm also not going to leave you in the cold. I'm giving you something because you have a job to do.

- Superintendent - Because my purpose in calling the family is what support can we provide to your child and to you. When you have a chance to talk to your family about this, tell us when we can sit down and talk to work together because some families aren’t going to send their child back to school because it’s too difficult to confront the questions.

- Superintendent - We have thirty buildings. This building suffered a loss so we come support each other when possible. In real life, if we live out of state we
come home. The family comes home so the superintendent is visible and it's a lot of “thanks.” They don't even know why they are thanking me. Except, I think there's a comfort in knowing, there's a comfort through my role in being present, and yes I have my antenna out and I'm gauging and recognizing are we still okay? Do we need supports?

- Participant - After the meeting we had that first day when we shared the facts of the situation, thanks to talking points created by Dr. Thompson and Pete Mitchell, there really wasn't any need to send much to staff and families beyond it.

- Participant - I do know that some type of e-mail probably went out from Dan through consultation with the superintendent. It probably included something like, “Hey if kids ask, this is what you are to share.” We felt that it's not a topic for discussion in the curricular scope of the building, in the classrooms, but um, kids are curious and you need to, in a sense, educate them with what you can and then move on to teaching.

- Participant - He handled it professionally and it got down to the root of the issue and let's address it. Be efficient with it, don't dwell on certain things. Address it and move on. He evaluated it as we were moving along in that process. Dan learned that from Dr. Thompson because he runs the district the same way.

- Participant - He [Mike] hired a group of leaders who bring different strengths to the table and it’s no good if we’re all the same because how would we compensate for a deficiency in a particular area. I know for sure that Dan
would say that this is in Cliff’s wheelhouse and that he looks to me to deal
with those situations, to keep me abreast of the situations and to, you know,
get me involved when I need to be.

- Participant - The original message that Dr. Thompson and I crafted would
have been sent through Mr. Devitt to his families in the Polk Central system
and the way it happens is via the blast voicemail/e-mail system called
ConnectEd.

**Superintendent actions – Step 5 – Psychological source of authority.**

- Superintendent - I think it's having the ability to multi-task on a lot of
different things and walk into a room and say have you thought of this and
have you thought of that, what's happening here. If the answers that you're
getting are solid, then it gives you confidence. If the answers you are getting
are shaky then you need to get closer to that fire and pay much more attention.

- Superintendent - If I walk into a room with Shirley and I ask six questions and
I get six answers quickly and confidently that resonate with me and are logical
and solid, then we’re good. If there seems to be a little queasiness on it or they
are not well thought out, I might say don't go any farther on that until we can
sit down and process or I'll say get me these five pieces of information then
come back to me.

- Superintendent - Dr. Thompson serves as the glue between six schools and
typically will ensure that other buildings are on high alert. Other schools will
e-mail and say “hey if you need extra social workers and counselors let us
know.”
Participant - And never at any time did we come in one morning and sit down with Shirley to say Dr. Loomis wants us to go this way. We stayed on a path and we're never told to look this way or look away. He trusted us to do what's best for the district and system. Wherever the evidence leads you, we support you.

Participant - However, he remained a constant support to us offering professional support to my admin team, pushing extra services from around the district our way but things were beginning to settle down.

Participant - The superintendent was always interested in knowing "where are you at? How's the climate of the building? Has this been addressed?" Mike was always confident in how we were going to handle it, but also very interested on being routinely updated with these situations so he had the information to pass on to whoever needed it.

Superintendent actions – Step 6 – Psychological source of authority.

Superintendent - In this job, once you put out one fire, you're going to have another one coming at you. It's always a long march. I do think that while we may not get up on a podium and jump up and down, we will congratulate each other on a nice job and comment on hitting all of the right points at the right time. When dealing with a scandal, it has to be that underlying gratification that you were able to move yourself forward.

Superintendent - I don't want to outwardly throw a party but good leadership is all about knowing that you made a decision with the best information at the
time and that decision landed your district in a better position than where you were yesterday.

- Superintendent - So yes, we do celebrate those successes and in this specific case, it had everything to do with the communication that we put out but it had to be humble at the same time.

- Superintendent - There is no celebration. What exists is a deliberate quiet word between myself and individually with each of the core group members when I'm back in the building or the board president and just to people who you knew were having a particularly hard time. Statements like, "how are you doing? Do you need anything?" The celebration is that your individual relationships and admin. member’s relationship with their staff carried us. As Principal, you need to know that I know that. When you talk to those people and I stood with you, the trust I had with you carried us. Thank you. That's it.

- Participant - However, as each court date came up, the wounds would be partially reopened for kids who were close to her or the situation but with Dr. Thompson’s help, we really kept the distractions at bay.

- Participant - Dr. Thompson and I wanted to make sure that we were able to congratulate the teachers for how they handled key pieces of their involvement with the students.

Superintendent actions – Step 7 – Psychological source of authority.

- Superintendent - Crisis is something that establishes you quite well because people want to come together and see how your metal is being tested in that situation. To your question, establishing consistency is important so that the
community recognizes that if you make a mistake that you are willing to admit it.

- Superintendent - I think there is a natural impatience that you have to resist. Impatience is going to land you in a bad spot. You have to let it run its course.

- Participant - Those protocols that Dr. Thompson created and put into place kept us focused and on path.

**Superintendent actions – Step 8 – Psychological source of authority.**

- Superintendent - It's not for me to determine that. First of all, in life it’s beautiful to have closure, put a bow on the package and seal it. It's my belief that in complex issues, that often the truth is never known and it doesn’t wrap-up that nicely for you.

- Participant - On top of that, Dr. Thompson had us take the training modules to another level through a discussion at staff meetings and we had some interesting discussions regarding the gray area interpretation of what is appropriate and inappropriate. It was interesting because he led the admin team through this same activity. And this was covered even deeper with new teacher induction because they didn’t live through the scandal itself. They weren’t a part of it at the time.

**Kotter’s Eight Steps for Change and the Technical-Rational Source of Authority**

The technical-rational source of authority is founded in a belief that supervision and teaching are applied sciences. However, the base of knowledge and research that feeds the aforementioned sciences is privileged. Possessing that base of knowledge is considered superordinate to the actual application of the knowledge. Stakeholder groups,
specifically teachers, are the skilled technicians who apply the knowledge and strive to possess it. Conversely, values, preferences, and beliefs created through application of the technical-rational source of authority are not appreciated, but facts and objective evidence are prized (Sergiovanni, 1992).

**Step 1: Establishing a sense of urgency and the technical-rational source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 1 and the technical-rational source of authority. All coded responses for step 1 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - You document things and make sure certain people are in the loop.
- Superintendent - You have documentation later so no one can say you were hiding it or washing it under the table.
- Participant - The making of contact with the police, the putting of the employee on leave and getting going with setting up for the investigation to clear the air and start moving forward happened within a day or two.
- Participant - Until we had concrete evidence we didn't know where we needed to go but we knew we wanted to thoroughly investigate this and come to resolution.
- Participant - In this day and age, everything is public. And everything is urgent. And those who do not understand that will die by their misunderstanding.
• Participant - You have to be deliberate. Be careful, be thoughtful because there are legalities involved but we had to say something and say it now and clearly.

• Participant - Included in Table 9 are the total occurrences of bureaucratic authority references in steps 1 through 8, in addition to percentages, submitted by interviewed stakeholders. The largest number of coded references was 39 and were identified in step 1 of Kotter’s eights steps for change. This accounts for 24% of the references coded to the Sergiovanni’s bureaucratic authority. In addition, 28% of the 526 coded references were applied to the bureaucratic source of authority.

Step 2: Creating the guiding coalition and the technical-rational source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 2 and the technical-rational source of authority. All coded responses for step 2 are included in their entirety and can be reviewed in Appendix G through Appendix N.

• Superintendent - I think I have the ability to recognize talent and retain it. You can be the best manager in baseball without the right players; you're going to lose a lot of games.

• Participant - There was enough evidence on the surface to suggest something wasn’t quite right but in order for the police to delve deeper into what was going on, they had to start questioning people. When they start questioning people the circle grows bigger.
Step 3: Developing a vision and strategy and the technical-rational source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 3 and the technical-rational source of authority. All coded responses for step 3 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - It’s like a chess game; I'm trying to assess all of the different moves. If I'm turning right or left, what is the downstream effect if I go right or left and what is the effect on me if it goes bad?

- Superintendent - Because you're dealing on the one hand with personnel law...and the responsibility that the district has to protect the confidence of the teacher, there is always the possibility that this didn't happen.

- Superintendent - There isn't anything [the school district] can do to get my trust back, because really that's what you're trying to do. I'm trying to rebuild trust that is lost with the family and the system as a whole.

- Superintendent - One of the things we move to next is the creation of the press release. It's all factual. Uh...it's factual, but it clearly communicates the expression that this is as serious as it gets and that we are committed to the protection of our children.

- Superintendent - We are launching an administrative investigation and we will be providing updates as they become available to us but we are going to meet the press, every day, even if it is to say that we have nothing new here.

- Participant - Once we got more information from the police, I believe we worked with them to craft a statement together that we could both have and
release and share jointly and of course with our attorney's again there are privacy issues and there are staff issues for those involved.

- Participant - Dr. Thompson and I knew that information was going to be getting out quickly, so one of the things that I needed to make sure was that our parents had accurate information.

- Participant - You have to be deliberate. Be careful, be thoughtful because there are legalities involved but we had to say something and say it now and clearly.

- Participant - So, we were prepared with a statement which we released proactively. Because the local press, which is online, had gotten hold of the information and of course the rumor mills kick in both among adults and students.

- Participant - Let me preface this by saying that the word “plan” is not a four letter word. You should always think with the end in mind and work backwards.

- Participant - That being said, there needs to be a structure in place to analyze what we have from the police, talk with our attorneys, don't rush something out, don't move away from our talking points and I'm going to be out at the building until the last TV truck pulls away and we will reassemble to discuss the next steps.

**Step 4: Communicating the change vision and the technical-rational source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 4 and the
technical-rational source of authority. All coded responses for step 4 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - I'll ask people to play both angles in their work. I may ask the communications person to run B instead of A but only change this single word. Then it's fast and we're ahead of the communication.

- Superintendent - The communication that the police are going to say is that the school district has been extremely cooperative from the early stages of the investigation and our line is going to be that the police have been involved in the earliest of stages.

- Participant - Everybody who we thought might receive question about this from a management perspective we provided reference points so they had the basics of information of what we thought we could communicate at that time.

- Participant - We knew there was a simmering issue and that to effectively contain it; we needed to step outside of the current perimeter and draw attention to the incident. We're trying to stop a simmering issue from becoming a bigger issue by acknowledging that the fire is there and that we want people to know about the fire before they read about it in the community.

- Participant - You can't wait around for that stuff to fester. Not in this day and age, so we immediately issued proactive statement that said A - you'll be hearing about this, the media is aware of it. We are aware of it.
Participant - All we have is to allude to authority and the authority comes from the crafted words you give to the right people to convey. If you leave a vacuum, my goodness the community and anyone else will fill it.

Participant - You have to craft a message thoughtfully, carefully and if you have 15 people going off in different tangents, well then...

Participant - That being said, there needs to be a structure in place to analyze what we have from the police, talk with our attorneys, don't rush something out, don't move away from our talking points and I'm going to be out at the building until the last TV truck pulls away and we will reassemble to discuss the next steps.

**Step 5: Empowering employees for broad-based action and the technical-rational source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 5 and the technical-rational source of authority. All coded responses for step 5 are included in their entirety and can be reviewed in Appendix G through Appendix N.

Superintendent - Again, knowing those people well and they knowing you well helps. But if you get a person who doesn't know when to ask or check back in [sighs with hands in the air]... My gut feeling is that you need to get rid of them.

Participant - Everybody who we thought might receive question about this from a management perspective we provided reference points so they had the basics of information of what we thought we could communicate at that time, the Board of Education for example.
Participant - We wanted those that we thought were going to have those personal conversations to have basic information to help them so they are not caught off guard.

Participant - They were equipped to communicate based on the information they could share at the time.

Participant - We can't accurately represent all of the facts in every conversation that's happening out there, so we are equipping them so they can speak on our behalf, realizing that things may be editorialized and elaborated on.

Participant - They were equipped to communicate based on the information they could share at the time.

Step 6: Generating short-term wins and the technical-rational source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 6 and the technical-rational source of authority. All coded responses for step 6 are included in their entirety and can be reviewed in Appendix G through Appendix N.

Superintendent – None.

Participant - We were constantly taking a dipstick measurement of the awareness that existed beyond the core group.

Participant - I would say that the way we would typically measure how effective our communication is by monitoring responses in a variety of
That may consist of how people are reacting to information in social media.

- Participant - We take a proactive approach to critical or controversial and put that on Facebook, Twitter, YouTube, so that people can get the information.

- Participant - Part of our measurement is monitoring the responses to a message that has been put out there; recognizing that you looking a small slice of the population that is going to respond.

- Participant - One of the other ways that we monitor is checking in with those on the front lines to determine what questions and comments they are getting from around the community.

- Participant - The sheer logistics of the first couple of days was a huge hurdle to clear. And we were able to measure it because reporters and TV trucks stopped showing up.

**Step 7: Consolidating gains and producing more change and the technical-rational source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 7 and the technical-rational source of authority. All coded responses for step 7 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent – None

- Participant - I don't think that we ever stopped along the way and declared that we were successful at a given point. I don't think we ever look at crisis response through that lens. For us, it really is a continuum.
- Participant - Ultimately, we have a standard of what key expectations are. Whether it's student expectation or staff expectations and how far are you deviating from those expectations. I always say it's a deviation from the mean.

- Participant - We live in an age where people think that everything can and should be measured and that's not necessarily true. Not everything that can be counted counts and not everything that counts can be counted.

- Participant - In a communications world you can't necessarily measure accuracy to what people heard or understood as long as I can be assured that they were given the message.

**Step 8: Anchoring new approaches in the culture and the technical-rational source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 8. All coded responses for step 8 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent – None

- Participant - If anything, the process was extremely loose and it needed to be much tighter to protect everyone. It’s important to tighten protocols.

- Participant - Because the parents were so involved and knew it was loose. It was an investment on their end and ultimately led to a lot of their speculation.

Included in Table 13 are the coded references shared by the participants who were interviewed. Sixteen references were coded to step 3 and sixteen references were coded to step 4 of Kotter’s eight steps for change. This accounts for 21% of the references coded to the Sergiovanni’s technical-rational source of authority within each step for a
total of 42%. In addition, 16% of the 526 coded references were applied to the technical-rational source of authority.

Table 13

*Breakdown of Coded References for Technical-Rational Authority and Kotter’s Eight Steps for Change*

<table>
<thead>
<tr>
<th>Step</th>
<th>Technical-Rational Authority</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1</td>
<td>12</td>
<td>15%</td>
</tr>
<tr>
<td>Step 2</td>
<td>4</td>
<td>5%</td>
</tr>
<tr>
<td>Step 3</td>
<td>16</td>
<td>21%</td>
</tr>
<tr>
<td>Step 4</td>
<td>16</td>
<td>21%</td>
</tr>
<tr>
<td>Step 5</td>
<td>5</td>
<td>6%</td>
</tr>
<tr>
<td>Step 6</td>
<td>10</td>
<td>13%</td>
</tr>
<tr>
<td>Step 7</td>
<td>13</td>
<td>17%</td>
</tr>
<tr>
<td>Step 8</td>
<td>2</td>
<td>3%</td>
</tr>
<tr>
<td>Total</td>
<td>78</td>
<td></td>
</tr>
<tr>
<td>Percentage</td>
<td>16%</td>
<td></td>
</tr>
</tbody>
</table>

*Word Frequency – Technical-Rational Source of Authority*

Employing a word frequency query through the QSR NVivo 10 statistics package yielded the following table that includes the top ten words most frequently used in interview responses that were coded to the common theme of technical-rational source of authority. The identified words are weighted based on an algorithm that associates the words with other like words in the program database. Although not specifically used 310 times, words similar to the highest rated word “change” were noted a total of 310 times in interview responses.
Table 14

*Word Frequency Table – Technical-Rational Authority and Kotter’s Eight Steps for Change*

<table>
<thead>
<tr>
<th>Word</th>
<th>Count</th>
<th>Weighted Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Change</td>
<td>310</td>
<td>2.52</td>
</tr>
<tr>
<td>Act</td>
<td>256</td>
<td>2.50</td>
</tr>
<tr>
<td>communication</td>
<td>232</td>
<td>2.35</td>
</tr>
<tr>
<td>Happen</td>
<td>131</td>
<td>1.56</td>
</tr>
<tr>
<td>Move</td>
<td>207</td>
<td>1.53</td>
</tr>
<tr>
<td>Person</td>
<td>86</td>
<td>1.36</td>
</tr>
<tr>
<td>Going</td>
<td>170</td>
<td>1.35</td>
</tr>
<tr>
<td>Group</td>
<td>112</td>
<td>1.23</td>
</tr>
<tr>
<td>Created</td>
<td>136</td>
<td>1.18</td>
</tr>
<tr>
<td>Points</td>
<td>115</td>
<td>1.15</td>
</tr>
</tbody>
</table>

**Superintendent Actions – Technical-Rational Source of Authority**

Included below are actions described in interview responses that can be directly related to the superintendent of the educational system. The actions are first categorized by superintendent responses and then by responses from other participants. Criteria for identifying actions are based on the response specifically referencing the superintendent of the educational system.

**Superintendent actions – Step 1 – Technical-rational source of authority.**

- Superintendent - You have documentation later so no one can say you were hiding it or washing it under the table. But you're not creating urgency in the whole system that we have to change a money handling policy because we may not be there yet.

- Participant - My first contact regarding the situation was from Dr. Thompson. He basically said, we have a Polk Central teacher who was arrested. I just
assumed drunk driving or something to that affect. When he told me who the teacher was and what the situation was, I said okay, just a second, go back and start over because now I need to get a different frame of mind because we're talking about something completely different. This is school related; it's going to directly impact what happens in the building.

**Superintendent actions – Step 2 – Technical-rational source of authority.**

- Superintendent - I think a couple of good things going for me. I'm not going to say I'm the best or worst. I think I embrace problem solving. I am unflappable.
- Superintendent - I think I have the ability to recognize talent and retain it. You can be the best manager in baseball without the right players; you're going to lose a lot of games.
- Participant - None.

**Superintendent actions – Step 3 – Technical-rational source of authority.**

- Superintendent - What I try to do in the actions we’re taking at a point in time I am always trying to think of the alphabet. We're going to go from A to Z. There’s not just one Z. There’s probably four different Z's.
- Superintendent - It’s like a chess game; I'm trying to assess all of the different moves. If I'm turning right or left, what is the downstream effect if I go right or left and what is the effect on me if it goes bad?
- Superintendent - That's just how I operate and it’s part of my leadership style. I find it amazing that when I reflect with certain people and play it out various scenarios that they weren't able to see that it could go wrong.
• Superintendent - I don't think you can show all of that to people but in situations in which I know it is going to be a quick turnaround, I'll ask people to play both angles in their work. I may ask the communications person to run B instead of A but only change this single word. Then it's fast and we're ahead of the communication.

• Superintendent - I can understand almost all of the different facets of the problem and bring forth the best possible solution.

• Superintendent - Because you're dealing on the one hand with personnel law...and the responsibility that the district has to protect the confidence of the teacher, there is always the possibility that this didn't happen.

• Superintendent – We’re sharing things such as we are monitoring developments; the Superintendent has named the lead investigator. We have the timetable for conducting interviews, while maintaining this as confidential. You start communicating those things, people who are not, well most people, and I would probably say the exception are the hard liners who you are never going to convince and those who are, their just too close to it. There isn't anything you can do to get my trust back, because really that's what you're trying to do. I'm trying to rebuild trust that is lost with the family and the system as a whole.

• Superintendent - One of the things we move to next is the creation of the press release. It's all factual. Ah...it's factual, but it clearly communicates the expression that this is as serious as it gets and that we are committed to the protection of our children. And we are launching an administrative
investigation and we will be providing updates as they become available to us but we are going to meet the press, every day, even if it is to say that we have nothing new here.

- Participant - Dr. Thompson and I knew that information was going to be getting out quickly, so one of the things that I needed to make sure was that our parents had accurate information.

- Participant - His impact on the admin team was to be there to help define what our goals needed to be to return to normalcy and he reeled us in and asked for better clarity when our ideas were a bit unfocused.

**Superintendent actions – Step 4 – Technical-rational source of authority.**

- Superintendent - I don't think you can show all of that to people but in situations in which I know it is going to be a quick turnaround, I'll ask people to play both angles in their work. I may ask the communications person to run B instead of A but only change this single word. Then it's fast and we're ahead of the communication.

- Superintendent - The communication that the police are going to say is that the school district has been extremely cooperative from the early stages of the investigation and our line is going to be that the police have been involved in the earliest of stages. We say this so that although they will realize that things have been going on behind the scenes, it went on behind the scenes so pieces of the investigation were not compromised. Most people will get that.

- Participant - When Dr. Thompson hired a communication coordinator a few years back, he’ll probably tell you that a situation like this was at the core of
his decision. He trusts Pete’s skillset and through a combination of this situation being so outside of what was acceptable and Pete’s communication and talking points that there was really no ability to argue what took place because we communicated early and often.

- Participant - I know there was an e-mail sent to the staff. I'm sure Dr. Thompson helped to craft that communication and trust us to get it out. I'm also 100% sure now that we talked and addressed it at a faculty meeting.

- Participant - Once we got more information from the police, I believe we worked them to craft a statement together that we could both have and release and share jointly and of course with our attorney's again there are privacy issues and there are staff issues for those involved. So there was a lot of back and forth going on; a lot of talking over the speaker phone in the conference.


- Superintendent - Again, knowing those people well and they knowing you well helps. But if you get a person who doesn't know when to ask or check back in [sighs with hands in the air]... My gut feeling is that you need to get rid of them.

- Participant - I absolutely felt empowered from the start. I probably questioned myself more than anything; double checking and triple checking. Making sure that anything I had in my mind as possible next steps were communicated to Charles and that he felt like I was on the right track.
Superintendent actions – Step 6 – Technical-rational source of authority.

- Superintendent - I would say that the way we would typically measure how effective our communication is by monitoring responses in a variety of mediums. That may consist of how people are reacting to information in social media. We take a proactive approach to critical or controversial and put that on Facebook, Twitter, YouTube, so that people can get the information.

- Participant – None.

Superintendent actions – Step 7 – Technical-rational source of authority.

- Superintendent – None.

- Between the superintendent and I, we would make decisions based off of what we know at the time and this may mean waiting to act because we don’t have enough info but we first need to know that we don’t have enough info.

Superintendent actions – Step 8 – Technical-rational source of authority.

- Superintendent – None.

- Participant – None.

Kotter’s Eight Steps for Change and the Professional Source of Authority

Sources of authority can also come in the form of seasoned craft knowledge, combined with personal expertise. Professional authority is the first source of authority mentioned to be developed from within the stakeholder groups rather than being imposed as a management framework. This source of authority is built upon common socialization, professional accepted tenets of practice, and internalized expertise (Sergiovanni, 1992).
Step 1: Establishing a sense of urgency and the professional source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 1 and the professional source of authority. All coded responses for step 1 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent – I think at the beginning of a lot of these type of situations is that you’re not clear what you have.

- Superintendent – Yes, you do have to create a sense of urgency but it's controlled urgency.

- Superintendent – However, you need to be concerned where you create it. You don't want to inform [the accused] that you're creating a sense of urgency.

- Participant - When it was first brought to [Dr. Loomis’s] attention he asks pertinent questions.

- Participant - [Dr. Loomis] knew right a way there was a sense of urgency.

- Participant - [Dan Devitt] had daily conversations with Dr. Thompson and that he was processing all of the next steps collaboratively with him.

- Participant - Not only do we have students we have our fellow colleagues who are not handling this well.

- Participant - [Dr. Thompson] let me process through a number of steps and we really tried to hash out scenarios on how it would unfold.
Participant - [Dr. Thompson] laid out some clear guidelines on things that absolutely must happen, especially when it came to meeting with the media.

Participant - The superintendent was always interested in knowing “where are you at? How's the climate of the building? Has this been addressed?”

Step 2: Creating the guiding coalition and the professional source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 2 and the professional source of authority. All coded responses for step 2 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent – In this situation one [reason for selection] was by their role and position.
- Superintendent – People who are close to the problem that will have an intimate knowledge of what's going on.
- Superintendent – People who I believe can remain confidential and can be trusted.
- Superintendent – [Confidants] have to have a track record of good common sense and a good compass.
- Participant - The group was comprised of Superintendent, Human Resources Director, Public Relations, and about that same time there were a handful of people who directly involved in the situation that became part of the circle.
- Participant - When it began to elevate to a different level, he took a more direct role.
- Participant - Charles was at the center of that. Because his style is that he wants to be in the know. He wants to be able to influence strategy and decisions.
- Participant - He allowed us to sort of have the constructive disagreement within the ranks to determine what our steps are. He's very collaborative and we worked together to create those groups.
- Participant - His leadership style is to allow you to have the autonomy to lead but in a situation like this, he is awesome at making sure you know that you are not alone and that he'll be by your side throughout.
- Participant - He is non-judgmental. He wants to make sure that he has all of the information possible.

**Step 3: Developing a vision and strategy and the professional source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 3 and the professional source of authority. All coded responses for step 3 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent – So you know, we’re meeting regularly; principal is giving me a constant gauge on the building, community relations is telling me what’s on the internet and what’s on the radio.
- Superintendent – The Asst. Sup. is already preparing the letters that need to go out to the staff member telling them officially, god knows you don't want a procedural error here, that officially you are on paid administrative pending the outcome of an investigation, etc. etc. etc. and he is preparing the
suspension letter that if we should get to the point where if there is enough compelling evidence, then I'm not keeping that teacher on paid leave a day longer than I have to if guilt is found because the community is going to react to that.

- Participant - It’s easy to say that it has always been in place but it was modeled by Dr. Thompson and then it just became standard practice in all of the buildings.

- Participant - We kind of had the general rule of when crisis takes place that we all kind of come together typically in the morning and I'd call a meeting.

- Participant - Basically, these are the facts, this is what we heard, this is what the situation is, and this is what we would like you to continue to do in the classroom. Stick with your lesson plans.

- Participant - Dr. Thompson was on site for that meeting and we reflected after the meeting about the continuity of our message.

- Participant - Dr. Thompson and I talked and reflected often. This was as much about a peer support network as it was to determine the best course of action.

- Participant - For one, how do we address the students in the class of the staff member, knowing that she's not going to be there today because her picture was plastered on the news, and how do we deal with the student, not knowing if that male student was going to be in the building?

**Step 4: Communicating the change vision and the professional source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 4 and the
professional source of authority. All coded responses for step 4 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent – You're continuing to meet personally with staff and there is a point where I wean away and the principal acts alone with his staff, and the reasons are what was unknown is becoming known.

- Participant - Phone, e-mails, and face-to-face. We dealt more directly with the Director of HR, Shirley Long.

- Participant - Dr. Thompson and Pete always work together to generate talking points and communication to the community.

- Participant - There are different kinds of reactions from different groups. And, so it was gender based. You got some of the whole [uses air quotes] nudge-nudge, wink-wink kind of thing and a lot of the criticism from the adults was the attack on the standard that if this had been a man with a girl…

**Step 5: Empowering employees for broad-based action and the professional source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 5 and the professional source of authority. All coded responses for step 5 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent – You have to really start building relationships with your team. You have to know their talents, capacities, and skillsets. You have to know that they feel comfortable accessing you whenever they need to and that you will ensure that access is available for them.
• Superintendent – If you work with people enough, they start knowing when they might be getting too far out on a limb or too far over their skis. If they're smart, they'll know to pull back...check-in, touch base and firm up the other person holding the limb.

• Superintendent – We created a collaborative plan and those people responsible for roles with the plan carried them out near flawlessly.

• Participant - Some very open conversations included his push for me to use the attorney, use the accountant. If you feel you need something, let me know and we'll get it for you. For not one minute did I ever feel like I was on my own and this was crazy, let me tell you.

• Participant - Any meeting you have with him and any situation you have like this he is actively listening and reflecting. I have been incredibly valued and my work has been valued.

• Participant - I make that decision on my own but I have been empowered to make that decision.

• Participant - On a professional level he trusted me to be the point person in the building and said if you need additional social workers/counselors then let me know.

• Participant - Dr. Thompson was serving as a support to the school throughout the problem but he really was instrumental in being my sounding board.
- Participant - Counselors and social workers felt like we respected their craft because this is what they are trained to do and we entrusted them to do it. They felt validated.

- Participant - The building admin team didn’t need to be the only people who could deal with this and the district admin team, led by Mike shouldn’t shoulder it alone.

**Step 6: Generating short-term wins and the professional source of authority.**

The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 6 and the professional source of authority. All coded responses for step 6 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent – We created a collaborative plan and those people responsible for roles with the plan carried them out near flawlessly.

- Participant - There were a number of times when we leaned on each other for morale support and it was never really a celebration but it certainly was a moment to acknowledge what had been accomplished.

- Participant - As far as the group goes, reflection is a time to celebrate as well. We know when we dodged a bullet and we're not afraid to pat each other on the back for it.

- Participant - I think all of us in our own areas around the building were able to say when we felt the situations were over and some time had passed “we're stronger because of it.”
• Participant - I think that we're more accountable to each other. We have been able to look back after time has passed to say "Holy cow! We survived that

• Participant - Counselors and social workers felt like we respected their craft because this is what they are trained to do and we entrusted them to do it. They felt validated.

Step 7: Consolidating gains and producing more change and the professional source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 7 and the professional source of authority. All coded responses for step 7 are included in their entirety and can be reviewed in Appendix G through Appendix N.

• Superintendent – The last thing any organization wants is a chief executive who is bi-polar. Everyone wants somebody who is consistent.

• Superintendent – [The community] watches you at the beginning. It's the first couple of crises that come up which set the stage for how they will perceive you for much of your time after those events.

• Participant - I think now there is an accountability factor to each other professionally.

• Participant - We learned a hard lesson that just because you’re professional and an adult in the classroom doesn't mean you act professionally.

• Participant - I think we've just started to watch with a little more diligence about each other, accountability to each other and to our kids.
• Participant - I think all of us in our own areas around the building were able to say when we felt the situations were over and some time had passed “we're stronger because of it.”

• Participant - We not only had more module training but we followed it up with discussion groups about what we took away from the modules. I know we never did that before.

**Step 8: Anchoring new approaches in the culture and the professional source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 8 and the professional source of authority. All coded responses for step 8 are included in their entirety and can be reviewed in Appendix G through Appendix N.

• Superintendent – None.

• Participant - I think now there is an accountability factor to each other professionally.

• Participant - Unfortunately, we learned a hard lesson that just because you’re professional and an adult in the classroom doesn't mean you act professionally.

• Participant - So I think we've just started to watch with a little more diligence about each other, accountability to each other and to our kids.

• Participant – Yeah, for that occurrence, I would say yes. Because I think the staff has learned from it, they’ve educated themselves on it, and we’re still doing very well as a building. We didn’t let it define us.
Included in Table 15 are the total occurrences of professional authority references in steps 1 through 8, in addition to percentages, which were submitted by interviewed stakeholders. The largest number of coded references was 29 and were identified in step 2 of Kotter’s eights steps for change. This accounts for 22% of the references coded to Sergiovanni’s professional source of authority. In addition, 27% of the 526 coded references were applied to the professional source of authority.

Table 15

*Breakdown of Coded References for Professional Authority and Kotter’s Eight Steps for Change*

<table>
<thead>
<tr>
<th>Step</th>
<th>Professional Authority</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1</td>
<td>23</td>
<td>18%</td>
</tr>
<tr>
<td>Step 2</td>
<td>29</td>
<td>22%</td>
</tr>
<tr>
<td>Step 3</td>
<td>17</td>
<td>13%</td>
</tr>
<tr>
<td>Step 4</td>
<td>6</td>
<td>5%</td>
</tr>
<tr>
<td>Step 5</td>
<td>22</td>
<td>17%</td>
</tr>
<tr>
<td>Step 6</td>
<td>11</td>
<td>9%</td>
</tr>
<tr>
<td>Step 7</td>
<td>12</td>
<td>9%</td>
</tr>
<tr>
<td>Step 8</td>
<td>9</td>
<td>7%</td>
</tr>
<tr>
<td>Total</td>
<td>129</td>
<td>27%</td>
</tr>
</tbody>
</table>

Word Frequency – Professional Source of Authority

Employing a word frequency query through the QSR NVivo 10 statistics package yielded the following table that includes the top ten words most frequently used in interview responses that were coded to the common theme of professional source of authority. The identified words are weighted based on an algorithm that associates the words with other like words in the program database. Although not specifically used 230
times, words similar to the highest rated word “group” were noted a total of 230 times in interview responses.

Table 16

Word Frequency Table – Professional Authority and Kotter’s Eight Steps for Change

<table>
<thead>
<tr>
<th>Word</th>
<th>Count</th>
<th>Weighted Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>group</td>
<td>230</td>
<td>1.81</td>
</tr>
<tr>
<td>act</td>
<td>357</td>
<td>1.67</td>
</tr>
<tr>
<td>actively</td>
<td>321</td>
<td>1.61</td>
</tr>
<tr>
<td>events</td>
<td>295</td>
<td>1.44</td>
</tr>
<tr>
<td>move</td>
<td>264</td>
<td>1.38</td>
</tr>
<tr>
<td>community</td>
<td>279</td>
<td>1.37</td>
</tr>
<tr>
<td>happen</td>
<td>190</td>
<td>1.31</td>
</tr>
<tr>
<td>need</td>
<td>76</td>
<td>1.31</td>
</tr>
<tr>
<td>whole</td>
<td>156</td>
<td>1.29</td>
</tr>
<tr>
<td>organization</td>
<td>151</td>
<td>1.27</td>
</tr>
</tbody>
</table>

Superintendent Actions – Professional Source of Authority

Included below are actions described in interview responses that can be directly related to the superintendent of the educational system. The actions are first categorized by superintendent responses and then by responses from other participants. Criteria for identifying actions are based on the response specifically referencing the superintendent of the educational system.

**Superintendent actions – Step 1 – Professional source of authority.**

- Superintendent - Let me just kind of say something at the beginning. I think at the beginning of a lot of these type of situations is that you’re not clear what you have. That becomes a fumbling area at the beginning in where you’re going is someone just screwing up on procedures.
• Superintendent - You may start the conversation thinking you're on a personnel issue and as you move three or four steps you start bubbling in your mind that this is an embezzlement issue and not an HR issue. In this situation, where it's starting to come together that an embezzlement has occurred, yes, you do have to create a sense of urgency but it's controlled urgency. However, you need to be concerned where you create it.

• Superintendent - In the very early stages, particularly if it involves a criminal investigation, you can’t create it in a widespread way across the system; you don't want to inform them that you're creating a sense of urgency. You document things and make sure certain people are in the loop.

• Participant - Charles has his style. He his highly engaged and can be very hands-on. When it was first brought to his attention he asks pertinent questions.

• Participant - Charles's role in all of these situations is "need to know." Tell me what's going on. If you did anything, tell me what you did. He likes to give input. I like to seek his input, check my understanding, am I headed in the right direction, did I miss anything. He knew right a way there was a sense of urgency.

• Participant - Initially, he [Dr. Thompson] let me process through a number of steps and we really tried to hash out scenarios on how it would unfold. He laid out some clear guidelines on things that absolutely must happen, especially when it came to meeting with the media.
Participant - The superintendent was always interested in knowing "where are you at? How's the climate of the building? Has this been addressed?" Mike was always confident in how we were going to handle it, but also very interested on being routinely updated with these situations so he had the information to pass on to whoever needed it.

Superintendent actions – Step 2 – Professional source of authority.

- Superintendent – None.
- Participant - The reasoning behind making this decision was based on what we know, what do we need to begin thinking in terms of communication, who else needs to be a part of the communication was still a decision-making group of three to five people and Charles was at the center of that. Because his style is that he wants to be in the know.
- Participant - [Charles] wants to be able to influence strategy and decisions. To his credit, he probably had two to four others who were giving him feedback from a variety of aspects which we specialize in; finances, HR, and PR.
- Participant - Charles's leadership style is visible, accessible, people recognize him as being decisive. So he had a small circle of people around him who offered a lot of give and take. Ultimately we realized that Charles has to own this because he is the superintendent.
- Participant - [Charles] allowed us to sort of have the constructive disagreement within the ranks to determine what our steps are, what are we going to communicate and acknowledging that there were times when we
didn't agree along the way. But there is also respect and openness within our leadership structure so that even though we disagree we are going to support the message.

- Participant - Charles and I created the group together. He's very collaborative and we worked together to create those groups. His leadership style is to allow you to have the autonomy to lead but in a situation like this, he is awesome at making sure you know that you are not alone and that he'll be by your side throughout.

- Participant - [Charles] is non-judgmental. He wants to make sure that he has all of the information possible. He doesn’t want to react too quickly and undo something. There are times when people might suggest getting too far out in front. However, he would tell us that “I respect all of you and what you're saying but I need to hold back a little bit.” And it has proven to be a correct decision all the time. However, when he does react, he's sure.

- Participant - We were actually brought in very early on. That’s one of the things that the school district and Dr. Loomis tries to do is get the police involved at the first sign of impropriety.

- Participant - As a result of Dr. Thompson’s team building and role identification expectations of the admin. team and the leg work we did as a building to create our vision for leadership, each person knew their role and executed it.
Superintendent actions – Step 3 – Professional source of authority.

- Superintendent – So you know, we’re meeting regularly; principal is giving me a constant gauge on the building, community relations is telling me what’s on the internet and what’s on the radio. The lawyer, if they're not in the room, they're on speaker phone, the Asst. Sup. is already preparing the letters that need to go out to the staff member telling them officially, god knows you don't want a procedural error here, that officially you are on paid administrative pending the outcome of an investigation, etc. etc. etc. and he is preparing the suspension letter that if we should get to the point where if there is enough compelling evidence, then I'm not keeping that teacher on paid leave a day longer than I have to if guilt is found because the community is going to react to that.

- Participant - Dr. Thompson serves as the glue between six schools and typically will ensure that other buildings are on high alert. Other schools will e-mail and say “hey if you need extra social workers and counselors let us know.”

- Participant - I had spent quite a bit of time the year before with my administrative team, under the guidance of Dr. Thompson, team building and determining our make-up as a group. That structuring process resulted in my ability to pull them together in an instant and say that “I need you in my office immediately.”
- Participant - We spent hours and hours the year before developing the make-up and structure of the team and I’m happy that role definition piece was pushed by Dr. Thompson.

- Participant - Initially, he [Dr. Thompson] let me process through a number of steps and we really tried to hash out scenarios on how it would unfold. He laid out some clear guidelines on things that absolutely must happen, especially when it came to meeting with the media.

- Participant - We made sure we had services for the students. That day after school, the teachers were invited to an optional meeting in which they were informed of the situation. Basically, these are the facts, this is what we heard, this is what the situation is, and this is what we would like you to continue to do in the classroom. Stick with your lesson plans. That meeting happened that day after school. Dr. Thompson was on site for that meeting and we reflected after the meeting about the continuity of our message.

- Participant - However, [Dr. Thompson] remained a constant support to us offering professional support to my admin team, pushing extra services from around the district our way but things were beginning to settle down.

- Participant - Dr. Thompson and I talked and reflected often. This was as much about a peer support network as it was to determine the best course of action.

**Superintendent actions – Step 4 – Professional source of authority.**

- Superintendent – Everyone is scrambling to try and make sense of this situation because as time goes on and as facts become known and the investigation progresses, you're continuing to meet personally with staff and
there is a point where I wean away and the principal acts alone with his staff, and the reasons are what was unknown is becoming known.

- **Participant** - Phone, e-mails, and face-to-face. We dealt more directly with the Director of HR, Shirley Long. Dr. Loomis was initially involved but he backed out and really permitted the HR director to conduct the investigation with us.

- **Participant** - Dr. Thompson and Pete always work together to generate talking points and communication to the community.

**Superintendent actions – Step 5 – Professional source of authority.**

- **Superintendent** – You have to really start building relationships with your team. You have to know their talents, capacities, and skillsets. You have to know that they feel comfortable accessing you whenever they need to and that you will ensure that access is available for them.

- **Participant** - If you work with people enough, they start knowing when they might be getting too far out on a limb or too far over their skis. If their smart, they'll know to pull back...check-in, touch base and firm up the other person holding the limb.

- **Participant** - We created a collaborative plan and those people responsible for roles with the plan carried them out near flawlessly.

- **Participant** - [Dr. Loomis] would give ideas and I would bounce back with subtle shifts. We did a lot of check-ins and he offered a lot of reassurance. Some very open conversations included his push for me to use the attorney, use the accountant. If you feel you need something, let me know and we'll get
it for you. For not one minute did I ever feel like I was on my own and this was crazy, let me tell you. Wow, I can’t even believe this is happening...a 20 something year veteran and administrator but I knew immediately that this was serious and that I was going to have to take this on.

- Participant - Any meeting you have with [Dr. Loomis] and any situation you have like this he is actively listening and reflecting. I have been incredibly valued and my work has been valued. I have learned so much about the importance of reflection and a thoughtful approach.

- Participant - As a district, Dr. Thompson set us up so that the district handles the community, um [pause] confirming information. How we handle the people, the students, the staff, the parents, um really in our building comes down to the Polk Central admin.

- Participant - I would say it is across the district and was created by Dr. Thompson at district office. However, I've been here seven years and I don't think someone ever formally told me this is how we do it.

- Participant - It's just how we do it. I think they trust that we know how to do our job. It's one of the things that I love about Dr. Thompson.

- Participant - On a professional level [Dr. Thompson] trusted me to be the point person in the building and said if you need additional social workers/counselors then let me know.

- Participant - Dr. Thompson was serving as a support to the school throughout the problem but he really was instrumental in being my sounding board. Being a principal in this type of situation isn’t easy and it wouldn’t be any different
for a superintendent. He actively listened to me and really helped me to understand a path to right this ship again because we didn’t need to go back to where we once were.

- Participant - [Dr. Thompson's] impact on the admin team was to be there to help define what our goals needed to be to return to normalcy and he reeled us in and asked for better clarity when our ideas were a bit unfocused.

**Superintendent actions – Step 6 – Professional source of authority.**

- Superintendent – As far as the group goes, reflection is a time to celebrate as well. We know when we dodged a bullet and we're not afraid to pat each other on the back for it.

- Participant - There were a number of times when we leaned on each other for morale support and it was never really a celebration but it certainly was a moment to acknowledge what had been accomplished.

**Superintendent actions – Step 7 – Professional source of authority.**

- Superintendent – The last thing any organization wants is a chief executive who is bi-polar. Everyone wants somebody who is consistent. They all watch you at the beginning. It's the first couple of crises that come up which set the stage for how they will perceive you for much of your time after those events.

- Participant - And this was Mike’s idea. We not only had more module training but we followed it up with discussion groups about what we took away from the modules. I know we never did that before.

**Superintendent actions – Step 8 – Professional source of authority.**

- Superintendent – None.
Participant - Because of Dr. Thompson’s team building and role identification expectations of the admin team and the leg work we did as a building to create our vision for leadership, each person knew their role and executed it.

Kotter’s Eight Steps for Change and the Moral Source of Authority

Collective duty and obligation towards a system widely shared values, ideas, and beliefs define the fifth and final source of authority referred to as moral authority. Schools are professional learning communities and within the professional community what is considered right and good is as important as what works and what is effective. “Members of the community are motivated as much by emotions and beliefs as by self-interest. For example, collegiality is considered a professional virtue with this source of authority” (Sergiovanni, 1992, p. 38).

Step 1: Establishing a sense of urgency and the moral source of authority.

The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 1 and moral source of authority. All coded responses for step 1 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - The emotion and the secondary agendas of the individual can heavily influence the impact on the district.
- Participant - She was relieved of any duties and never to be around children in the district again.
- Participant - The first response by everybody was an emotional one.
- Participant - [Colleagues] were dumbfounded that it would happen.
Participant - There were literally some emotional responses, teachers coming down to counselors literally crying anger.

Step 2: Creating the guiding coalition and the moral source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 2 and moral source of authority. All coded responses for step 2 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - The culture is built on a servant leadership mindset.
- Superintendent - We're here to serve.
- Superintendent - The identified stakeholders are highly professional, they're committed to kids, they believe in servant leadership.
- Participant – None.

Step 3: Developing a vision and strategy and the moral source of authority. The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 3 and moral source of authority. All coded responses for step 3 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - There isn't anything you can do to get my trust back, because really that's what you're trying to do. I'm trying to rebuild trust that is lost with the family and the system as a whole.
- Superintendent - If the community feels as though the district lost control, never really even seized control, tried to sidestep, and tried to hand it off to
law enforcement, that's going to linger for years. This is the very nature of the scandal.

- Superintendent - You're obviously focused on the incident at hand, but you've got to recognize that the incident at hand has sent a very, very damning message about your organization to the wider community and you better be positioning yourself to work to help the child while on the same time having an eye on the bigger picture.

- Superintendent - Justice for the student and the teacher.

- Superintendent - To emerge from that having recaptured, or at least regained some trust back from the community. Ah...one of the other very important variables was personal contact.

- Participant - It was transparency. What can we be transparent about at this time without jeopardizing the investigation? We know our community holds us accountable for transparency.

- Participant - Our goal is never to prevent or inhibit communication. Were always asking can we communicate at this point and what can we communicate?

- Participant - His goal is to make sure we get out in front of things. This helps with our integrity in the community.

- Participant - He can speak to why he does it but my impression is that he doesn't want to give the appearance that there's some type of cover-up by the school.
• Participant - Dr. Thompson made sure other schools in the district were on high alert that their services may be needed and was constantly gauging us to determine if they needed to be sent.

• Participant - I can say that we identified how we wanted this resolved and worked pretty hard to get there.

**Step 4: Communicating the change vision and the moral source of authority.**

The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 4 and moral source of authority. All coded responses for step 4 are included in their entirety and can be reviewed in Appendix G through Appendix N.

• Superintendent - In the public domain, we do have a responsibility to give them information. There are certain pieces of information, for valid reasons, that is important.

• Superintendent - I think that's a blessing for me to have people who understand how deep the water is and that as horrific as this is for the child involved, as well as the teacher, there is a much bigger issue that needs to be addressed. And that is the trust of our community.

• Superintendent - This is going to end. I don’t know how it's going to end. I just learned about it two hours ago but one things for certain, it's going to end, the question is what are the lingering effects of that because if it ends and the community for the most part can look at the district and say "well done" than that’s the best we can hope for.
- Participant - My perspective is that the court of public law is going to be conservative on what we could release. It's a defensive posture that too many organizations take in situations like this. They kind of hunker down. They circle the wagons. We're going to hold onto this tight. We're not going to get ahead of it; we're not going to communicate.

- Participant - My position is always that it will play well in the court but it will be a loss in the court of public opinion. I'm constantly pushing the envelope. We understand the legal implications. Now put yourself in the position of the people sitting out there. How is this going to play in their minds?

- Participant - And just reassurance that you know this was not a consistent problem. This was a one-time thing. It was unfortunate, we all make mistakes, we all move on.

- Participant - Mike has a strong reputation in the community and his guidance to us is extremely important toward repairing whatever public trust was destroyed.

- Participant - The world has changed. Your average parent is now a consumer of information and demands information. People get mad now when you don't tell them what's going on.

**Step 5: Empowering employees for broad-based action and the moral source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 5 and moral source of authority. All coded responses for step 5 are included in their entirety and can be reviewed in Appendix G through Appendix N.
• Superintendent - Teachers are your very best ambassadors or they are your worst detractors. Parents believe teachers. They trust teachers.

• Superintendent - Administrators, I'm not saying they don't trust, but they never trust to the level they do teachers because you don’t have "Joey” sitting in your office like the teacher has Joey in her classroom. When Joey was sick the teacher did this and that.

• Participant - Dr. Thompson's leadership style is centered on his trust for the admin team to do the job that needed to get down. He hired us with a unique set of skills that are meant to balance each other.

• Participant - We found common ground on how to deal with the situation and he ensured that all the supports were in place for us to move past this.

**Step 6: Generating short-term wins and moral source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 6 and moral source of authority. All coded responses for step 6 are included in their entirety and can be reviewed in Appendix G through Appendix N.

• Superintendent – None.

• Participant - We also did such an aggressive job of making sure that we were transparent in the process.

**Step 7: Consolidating gains and producing more change and the moral source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 7 and moral
source of authority. All coded responses for step 7 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - On your quest to be a transparent as possible it doesn’t mean everyone is going to believe you. In this case, what we could manage was the best outcome possible.

- Participant - What I would characterize as a success is where we were transparent to the expectation of our community.

- Participant - In a situation like this, which dragged on over several months, there were several points where we had a responsibility to uphold that value of transparency.

- Participant - Quite frankly in the public sector the people who agree with you, the people for whom you are valued generally aren’t the ones to go online to spout off their comments.

- Participant - What I can say for sure is that we did everything we could to reassure, to reassure, to reassure, to reassure, [repeated four times] to control, to manage.

**Step 8: Anchoring new approaches in the culture and the moral source of authority.** The following statements represent a sampling of coded responses to the posed interview questions and subsequent probes specific only to step 8 and moral source of authority. All coded responses for step 8 are included in their entirety and can be reviewed in Appendix G through Appendix N.

- Superintendent - What we can do in terms of closure is communicate to the community what we did along the way, what the authorities agree to, what the
police agree to, and what policies and procedures we change to avoid this occurring in the future.

- Participant - So at a certain point in the story, we say here's what we've learned from this, here's who we can ensure this never happens again. Some people would say that’s spin control. For us, we know that it is genuine. We had learned from the mistake and had changed the internal controls from that ever happening again.

- Participant - We are going to follow the same game plan time and time again, realizing the circumstances are going to be different but taking the transparent approach and be as forthright as we can in our decision making.

Included in Table 17 are the total occurrences of moral authority references in steps 1 through 8, in addition to percentages, which were submitted by interviewed stakeholders. The largest number of coded references was 14 and were identified in step 4 of Kotter’s eight steps for change. This accounts for 27% of the references coded to Sergiovanni’s professional source of authority. In addition, 10% of the 526 coded references were applied to the moral source of authority.

**Word Frequency – Moral Source of Authority**

Employing a word frequency query through the QSR NVivo 10 statistics package yielded the following table that includes the top ten words most frequently used in interview responses that were coded to the common theme of professional source of authority. The identified words are weighted based on an algorithm that associates the words with other like words in the program database. Although not specifically used 165
times, words similar to the highest rated word “acted” were noted a total of 165 times in interview responses.

Table 17

*Breakdown of Coded References for Moral Authority and Kotter’s Eight Steps for Change*

<table>
<thead>
<tr>
<th>Step</th>
<th>Moral Authority</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1</td>
<td>9</td>
<td>18%</td>
</tr>
<tr>
<td>Step 2</td>
<td>6</td>
<td>12%</td>
</tr>
<tr>
<td>Step 3</td>
<td>10</td>
<td>20%</td>
</tr>
<tr>
<td>Step 4</td>
<td>14</td>
<td>27%</td>
</tr>
<tr>
<td>Step 5</td>
<td>2</td>
<td>4%</td>
</tr>
<tr>
<td>Step 6</td>
<td>2</td>
<td>4%</td>
</tr>
<tr>
<td>Step 7</td>
<td>5</td>
<td>10%</td>
</tr>
<tr>
<td>Step 8</td>
<td>3</td>
<td>6%</td>
</tr>
<tr>
<td>Total</td>
<td>51</td>
<td></td>
</tr>
</tbody>
</table>

Table 18

*Word Frequency Table – Moral Authority and Kotter’s Eight Steps for Change*

<table>
<thead>
<tr>
<th>Word</th>
<th>Count</th>
<th>Weighted Percentage (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>acted</td>
<td>165</td>
<td>2.60</td>
</tr>
<tr>
<td>organization</td>
<td>129</td>
<td>2.58</td>
</tr>
<tr>
<td>group</td>
<td>112</td>
<td>2.50</td>
</tr>
<tr>
<td>attribute</td>
<td>142</td>
<td>2.36</td>
</tr>
<tr>
<td>changed</td>
<td>151</td>
<td>2.35</td>
</tr>
<tr>
<td>person</td>
<td>75</td>
<td>2.29</td>
</tr>
<tr>
<td>happen</td>
<td>94</td>
<td>2.09</td>
</tr>
<tr>
<td>community</td>
<td>115</td>
<td>2.01</td>
</tr>
<tr>
<td>move</td>
<td>123</td>
<td>1.82</td>
</tr>
<tr>
<td>going</td>
<td>97</td>
<td>1.45</td>
</tr>
</tbody>
</table>
Superintendent Actions – Moral Source of Authority

Included below are actions described in interview responses that can be directly related to the superintendent of the educational system. The actions are first categorized by superintendent responses and then by responses from other participants. Criteria for identifying actions are based on the response specifically referencing the superintendent of the educational system.

Superintendent actions – Step 1 – Moral source of authority.

- Superintendent - The emotion and the secondary agendas of the individual can heavily influence the impact on the district. By that I mean in that situation the parent was the first to know and for whatever reasons, and still relatively unclear to me, although I attribute it to the raw emotion of the child being violated in that way by a trusted adult, there was anger directed toward the teacher but there was what appeared to be a secondary agenda by the parent to make certain that the media got it.

- Participant - I had spent quite a bit of time the year before with my administrative team, under the guidance of Dr. Thompson, team building and determining our make-up as a group. That structuring process resulted in my ability to pull them together in an instant and say that “I need you in my office immediately.”

Superintendent actions – Step 2 – Moral source of authority.

- Superintendent - The culture is built on a servant leadership mindset. In short, we're here to serve. The central office of this district exists to serve 30 campuses not the other way around.
• Superintendent - In this system, the identified stakeholders are highly professional, they're committed to kids, they believe in servant leadership, they recognize that what has happened is a gross violation of a child that they are going to live with the rest of their lives, we are not going to make them live with worse memories because we mishandled this. And, I think you know that as much as I'd like to take credit for, I think it is a blessing for me, their professionalism, one of the things that that core group does and again it’s kind of a blame of the media.

• Participant - We spent hours and hours the year before developing the make-up and structure of the team and I’m happy that role definition piece was pushed by Dr. Thompson.

• Participant - Dr. Thompson and I talked and reflected often.

**Superintendent actions – Step 3 – Moral source of authority.**

• Superintendent - If the community feels as though the district lost control, never really even seized control, tried to sidestep, and tried to hand it off to law enforcement, that's going to linger for years. This is the very nature of the scandal. You're obviously focused on the incident at hand, but you've got to recognize that the incident at hand has sent a very, very damning message about you're organization to the wider community and you better be positioning yourself to work to help the child while on the same time having an eye on the bigger picture.
• Superintendent - Justice for the student and the teacher. Whatever that is, and in my experiences and I'm not suggesting in any way to be an expert, 35 years of experience with five or six situations of this magnitude.

• Superintendent - And to emerge from that having recaptured, or at least regained some trust back from the community. Ah...one of the other very important variables was personal contact.

• Participant - It was transparency. What can we be transparent about at this time without jeopardizing the investigation? We know our community holds us accountable for transparency. We're always asking ourselves is it time to communicate and what can we communicate.

• Participant - Our goal is never to prevent or inhibit communication. Were always asking can we communicate at this point and what can we communicate?

• Participant - He can speak to why he does it but my impression is that he doesn't want to give the appearance that there's some type of cover-up by the school.

• Participant - Dr. Thompson made sure other schools in the district were on high alert that their services may be needed and was constantly gauging us to determine if they needed to be sent. Through the communication that went out, the support we had in place for students and staff and being transparent, I can say that we identified how we wanted this resolved and worked pretty hard to get there.
Superintendent actions – Step 4 – Moral source of authority.

- Superintendent - The public doesn't have a right to know everything. But there are certain things they are entitled too. In the public domain, we do have a responsibility to give them information. There are certain pieces of information, for valid reasons, that is important.

- Superintendent - I think that's a blessing for me to have people who understand how deep the water is and that as horrific as this is for the child involved, as well as the teacher, there is a much bigger issue that needs to be addressed. And that is the trust of our community. Because you know, uh...this is going to end. I don’t know how it's going to end. I just learned about it two hours ago but one things for certain, it's going to end, the question is what are the lingering effects of that because if it ends and the community for the most part can look at the district and say "well done" than that’s the best we can hope for.

- Superintendent - If the community feels as though the district lost control, never really even seized control, tried to sidestep, and tried to hand it off to law enforcement, that's going to linger for years. This is the very nature of the scandal. You're obviously focused on the incident at hand, but you've got to recognize that the incident at hand has sent a very, very damning message about you're organization to the wider community and you better be positioning yourself to work to help the child while on the same time having an eye on the bigger picture.
• Participant - We knew that it could become a huge bump to them if they treated it that way or it could be just a small bump if we choose to think of it that way. However, I don’t want you to think we weren’t considering the magnitude of the problem. Dr. Thompson was adamant that we remain transparent to the reality that this occurred and that we weren’t going to hide from it. We just refused to allow it to define us.

• Dr. Thompson really pushes transparency without breaking protections of confidentiality where appropriate. In this case, as soon as we were aware of the situation, it was immediately acted upon. The teacher was never in the building again.

• Participant - We take a couple of steps back in the eyes of the community and the surrounding area to be on the news for something like that. And Mike has a strong reputation in the community and his guidance to us is extremely important toward repairing whatever public trust was destroyed. I know that he and Dan were in talks a lot about repairing trust and being as transparent as possible in addressing the situation.

**Superintendent actions – Step 5 – Moral source of authority.**

• Superintendent - Teachers are your very best ambassadors or they are your worst detractors. Parents believe teachers. They trust teachers. Administrators, I'm not saying they don't trust, but thy never trust to the level they do teachers because you don’t have "Joey” sitting in your office like the teacher has Joey in her classroom. When Joey was sick the teacher did this and that.
Participant - Dr. Thompson's leadership style is centered on his trust for the admin team to do the job that needed to get down. He hired us with a unique set of skills that are meant to balance each other. He was routinely in the loop to share his ideas and listen to ours. We found common ground on how to deal with the situation and he ensured that all the supports were in place for us to move past this.

**Superintendent actions – Step 6 – Moral source of authority.**

- Superintendent – None.
- Participant - I thought it would be a lot longer. I thought there would be more disruption to the school day. I thought there would be more issues. I credit how Dr. Thompson structured the operations of the district, specifically creating procedures for Mr. Mitchell, the communications guy because any newspaper or media source was directed to speak with Pete and I didn't have to deal with that.

**Superintendent actions – Step 7 – Moral source of authority.**

- Superintendent - On your quest to be a transparent as possible it doesn’t mean everyone is going to believe you. In this case, what we could manage was the best outcome possible.
- Participant – None.

**Superintendent actions – Step 8 – Moral source of authority.**

- Superintendent - What we can do in terms of closure is communicate to the community what we did along the way, what the authorities agree to, what the
police agree to, and what policies and procedures we change to avoid this occurring in the future.

- Participant – None.

**Summary**

In this chapter, the researcher presented the findings from the semi-structured interviews of six district-level school administrators, including two superintendents and four building level administrators. The interviews consisted of eight to nine initial questions with additional probes. Thomas Sergiovanni’s work regarding the five sources of authority (Sergiovanni, 1992) and John Kotter’s eight steps for change (Kotter, 1996) were used to develop the interview protocols that were employed during the semi-structured interview process.

The findings included reference coding and sorting for 526 separate statements documented in the interviews into a multitude of themes developed by combining one or more of Kotter’s eight steps for change with one or more of Sergiovanni’s five sources of authority. Moreover, references were broken down into word frequency tables and lists were created that directly link interview responses to superintendent actions.

The participant and superintendent interviews were conducted in person and recorded on an iPad. The interviews were transcribed, word for word, by a professional online transcription service. Sixteen educational systems were initially contacted via email and asked to participate in the interview process. A total of two educational systems were eventually interviewed; one system having experienced a sexual transgression scandal and the other having experienced an embezzlement scandal. Data from the interviews was collected over the course of the month of May, 2014.
In the next chapter, the researcher will use the data collected to discuss common themes and answer the following research questions:

1. According to the perceptions of district stakeholders, what words and actions did superintendents use to lead an educational system through a culture shift following the occurrence of a scandalous critical incident?

2. According to Kotter’s eight steps for change, what steps did superintendents accomplish to lead an educational system through a culture shift following the occurrence of a scandalous critical incident?

3. According to Sergiovanni’s five sources of authority, what sources of authority did superintendents use to lead an educational system through a culture shift following the occurrence of a scandalous critical incident during each of Kotter’s eight steps for change?

4. What are the implications to educational leadership identifying the best practices for leading an educational system through a culture shift following the occurrence of a scandalous critical incident?
CHAPTER V

ANALYSIS OF THE DATA

Introduction

This study deeply examined two educational systems that experienced a somewhat instantaneous erosion of positive organizational culture due to a scandalous critical incident. The purpose of this dissertation is: (1) to identify the words and actions superintendents use to lead an educational system culture shift following the occurrence of a scandalous critical incident; (2) examine those words and actions through the lens of John Kotter’s eight steps for change and Thomas Sergiovanni’s five sources of authority; and (3) to make recommendations to superintendents to lead their own educational system through a culture shift if a scandalous critical incident should occur.

Based on the aforementioned stated purposes, the main research questions for this dissertation were as follows:

1. According to the perceptions of district stakeholders, what words and actions did superintendents use to lead an educational system through a culture shift following the occurrence of a scandalous critical incident?
2. According to Kotter’s eight steps for change, what steps did superintendents accomplish to lead an educational system through a culture shift following the occurrence of a scandalous critical incident?
3. According to Sergiovanni’s five sources of authority, what sources of authority did superintendents use to lead an educational system through a
culture shift following the occurrence of a scandalous critical incident during each of Kotter’s eight steps for change?

4. What are the implications to educational leadership identifying the best practices for leading an educational system through a culture shift following the occurrence of a scandalous critical incident?

The goal of this study was to determine the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident. The research included the implementation of a phenomenological study which supported the identification of a basic structure of professional experiences with stakeholders who agreed to participate in the study and who experienced a scandalous critical incident; including the subsequent steps that were used to lead a cultural shift in the educational system as a result of the scandalous critical incident. Data was tracked and the responses of the selected district participants were analyzed to note themes within their provided responses to the interview questions. Finally, themes were identified based on responses from participants within each educational system and the data was interpreted with respect to their context within the organization to produce an imaginative variation; a characteristic of phenomenological study.

This chapter will answer the research questions by presenting an analysis of data, interpretations of these data, links between these data and related literature, conclusions, and calls for further research on the topic of culture shift resulting from a scandalous critical incident.
Conclusions

Research Question 1

According to the perceptions of district stakeholders, what words and actions did superintendents use to lead an educational system through a culture shift following the occurrence of a scandalous critical incident?

The answer to this question will be provided based on a combination of the reviewed literature and the responses that were shared in the semi-structured interviews conducted with superintendents, district level administrators, and building level administrators. First, Sergiovanni and Corbally (1984) state that the culture of any system should include the values, symbols, and shared meanings of a group that might consist of customs, traditions, historical accounts, unspoken understandings, habits, norms, expectations, common meanings associated with objects and rites, shared assumptions, and subjective meanings. Moreover, culture has an impact on the way systems operate, and it affects the way stakeholders within the system do their work. Culture tells people how to do what they do, and it determines how well they do it (Sergiovanni, 2006). Moreover, culture represents an effective means of coordination (Sergiovanni, 2006), builds commitment and identification (Schein, 1992), focuses daily behavior (Deal & Kennedy, 1982), and fosters successful change and improvement efforts (Deal & Peterson, 1990).

However, culture may have a negative side. Deal and Peterson (1999) suggest four characteristics that are common in negative cultures: there is a focus on negative values; the culture of the educational system becomes fragmented; exclusively destructive; and fractured. Sergiovanni (2006) warns of the dangers of negative cultures
when he states that “disengagement, lack of connections, and other manifestations of alienation stand in the way” of creating the types of systems that we desire (p. 122).

It is important to note that culture does not just happen, it is a “negotiated product of the shared sentiment of school participants” (Sergiovanni, 2006, p. 138). Organizational culture is both a product and a process. As a product, it embodies the accumulated wisdom of previous members of the organization. As a process, it is continually renewed and recreated as new members are taught the old ways and eventually become teachers themselves (Bolman & Deal, 1991). The culture of the educational system is important to the development of healthy schools that focus on the achievement of students. It can be heavily influenced by the leadership of the system and has an effect on the success of the school within the system.

For example, the results of Donald Johnson’s (2013) research indicate that superintendents address the development of positive organizational climate in definitive ways. Topics that emerged from his research included the establishment of an effective communication plan, governance system, and recognizing key support players in the organization. In addition, establishing common mission, vision, beliefs, and values was also a common denominator for each of the superintendents. Further information outlined the importance of the relationship developed between the school board and the superintendent as a leadership team. Finally, the research indicates that superintendents in this study utilized similar common strategies to develop a positive climate in their organization. Each superintendent also adapted to the needs and conditions in his/her school system as servant leaders who exhibited intelligence, strength, and compassion
(Johnson, 2013). Many of the common themes that Johnson (2013) unearthed in his research were noted within Kotter’s eight steps for change.

How does an educational system determine if they are involved in a scandal? According to Belzak, Garrard, and Newell (2008) there are at least two criteria that need to be fulfilled in order for a situation to become a scandal. That is, it refers to situations in which significant breaches of predetermined standards of correct behavior are revealed. It would also mean that such breaches are communicated to an audience wider than those immediately involved.

The first educational system identified, Buchanan School District, found itself in the middle of a scandal and had to invest resources to repair their culture. Approximately four years ago, the educational system was embroiled in a scandalous critical incident which involved a department chair being arrested, charged and negotiating a no contest verdict for embezzling tens of thousands of dollars from the Fine Arts Department. The other educational system was enmeshed in a scandalous critical incident which involved a female teacher being arrested, charged and found guilty of engaging in an inappropriate sexual relationship with a 16 year old male student.

Inherent in the role of the superintendent, is the ability to repair the damaged culture of an educational system by effectively mobilizing stakeholders. Mobilization encourages stakeholder input and engagement for shared ownership for the culture of the educational system; the superintendent cannot enhance or repair the culture alone. Bennis (2003) recognized that the mobilization of stakeholders allows them “to engage others by creating shared meaning. They have a vision, and they can persuade others to make that
vision their own” (p. xxi). Stakeholder commitment and collective efforts are essential components of change.

Leading an educational system through a culture shift requires strategy and innovation but can also be disordered and frenzied in a number of stages. According to Fullan (2001), “the change process in culture is less about innovation and more about innovativeness. It is less about strategy and more about strategizing” (p. 31). Fullan felt that to successfully shift the culture of an educational system the process will be accompanied by messiness and the ability to creatively adjust as needed.

That being said, the superintendent needs to facilitate creative problem solving to assist in shifting the culture of the educational system. “Leadership is not mobilizing others to solve problems we already know how to solve, but to help them confront problems that have never yet been successfully addressed” (Fullan, 2001, p. 3). Stakeholders will inspire and motivate each other, noted, to develop and carry out ideas to help better the educational system. It has to be the expectation of the superintendent to engage all stakeholders in the change process.

Harnessing the culture of an educational system requires having an understanding of the stakeholders within the system. Collins (2001) suggested, “…they gave people freedom and responsibility within the framework of the system. They hired self-disciplined people who didn’t need to be managed, and then managed the system, not the people” (p. 125).

Based on participant responses collected via the semi-structured interviews, Will Arnett, of the Buchanan School District shared the following actions of his superintendent during their scandalous critical incident.
Charles has his style. He is highly engaged and can be very hands-on. When it was first brought to his attention he asks pertinent questions. When it began to elevate to a different level, he took a more direct role. We moved from a half dozen people to more than a dozen. The reasoning behind making this decision was based on what we know, what do we need to begin thinking in terms of communication, who else needs to be a part of the communication was still a decision-making group of three to five people and Charles was at the center of that. Because his style is that he wants to be in the know. He wants to be able to influence strategy and decisions. To his credit, he probably had two to four others who were giving him feedback from a variety of aspects which we specialize in; finances, HR, and PR.

In addition another participant of the Buchanan School District, Shirley Long shared that her superintendent is very interested in wanting to know what’s happening along the way. She stated,

Charles's role in all of these situations is ‘need to know.’ Tell me what's going on. If you did anything, tell me what you did. He likes to give input. I like to seek his input, check my understanding, am I headed in the right direction, did I miss anything. He knew right away there was a sense of urgency.

Scott Everham, a participant of the Buchanan School District, noted that Dr. Loomis acted to secure police involvement early in the situation.

Dr. Loomis tries to do get the police involved at the first sign of impropriety. He can speak to why he does it but my impression is that he doesn't want to give the appearance that there's some type of cover-up by the school. As soon as they suspected that this was something that could potentially involve criminality, they contacted the police department and asked us to begin with the interview process.

Will Arnett went on to note that another action of his superintendent is to demonstrate that he is really open to constructive feedback and does not mind when someone disagrees with him or feels a need to take a different approach. He shared that he can recall several conversations as this unfolded around the table.

[Dr. Loomis and I] took what we knew at that moment, made decisions at each point in the timeline. There was a lot of back and forth and discussion disagreement based on what we knew at this moment.
During the creation of a stakeholder group, Shirley Long shared a specific action by Dr. Loomis, stating that

Charles and I created the group together. He's very collaborative and we worked together to create those groups. His leadership style is to allow you to have the autonomy to lead but in a situation like this, he is awesome at making sure you know that you are not alone and that he'll be by your side throughout. We're going to go through this together.

At the time the Buchanan School District participants were pondering a vision for moving past the scandal, he shared that

there was some collegiality there that we needed to be mindful of. Charles in particular took a very conservative approach because we were dealing with someone's career and livelihood. Initial information was preliminary and it would have been premature to release information because we didn't want to jeopardize their life or career.

Understanding relationships and his effect on them is also a specific superintendent action described by Will Arnett. According to Mr. Arnett,

as a team, we determine who the most influential groups are and who would answer to those groups. If Charles already has a relationship in place with a particular person, communication can take on a number of different appearances depending on the relationship. If we don't particularly know a key stakeholder, we'll defer to the building leaders to give us some insight.

“[Dr. Loomis] is always trying to be transparent,” said Scott Everham. Will Arnett reinforced the approach to transparency embraced by Dr. Loomis. He stated that

in a situation like this, which dragged on over several months, there were several points where we had a responsibility to uphold that value of transparency. Every time [Dr. Loomis and I] felt like we could do that and say we were proactive in doing so we wouldn't pat ourselves on the back but we would take some gratification in knowing that that we held up to the community expectation in that moment.

When asked about the actions of the superintendent to empower stakeholders,

Will Arnett stated that
we knew there was a simmering issue and that to effectively contain it; we needed to step outside of the current perimeter and draw attention to the incident. [Dr. Loomis and I] are trying to stop a simmering issue from becoming a bigger issue by acknowledging that the fire is there and that we want people to know about the fire before they read about it in the community.

Furthermore, Shirley Long felt empowered by her superintendent right from the beginning of the scandal. She stated that she

absolutely felt empowered from the start. I probably questioned myself more than anything; double checking and triple checking…making sure that anything I had in my mind as possible next steps were communicated to Charles and that he felt like I was on the right track. I was empowered to speak with attorneys and auditors. I crafted updates for the board. He allowed me to handle it with the knowledge that I'm not doing it in a vacuum.

Shirley went on to share the following actions about Dr. Loomis,

He would tell me that I’m doing a good job, but have you checked this. He would give ideas and I would bounce back with subtle shifts. We did a lot of check-ins and he offered a lot of reassurance. Some very open conversations included his push for me to use the attorney, use the accountant. If you feel you need something, let me know and we'll get it for you. For not one minute did I ever feel like I was on my own and this was crazy, let me tell you.

When Will Arnett was directly asked to describe his superintendent’s leadership style played into the culture shift, he stated

Charles’s leadership style is visible, accessible, people recognize him as being decisive. So he had a small circle of people around him who offered a lot of give and take. Ultimately we realized that Charles has to own this because he is the superintendent. He allowed us to sort of have the constructive disagreement within the ranks to determine what are our steps, what are we going to communicate and acknowledging that there were times when we didn’t agree along the way. But there is also respect and openness within our leadership structure so that even though we disagree we are going to support the message. It's the message that Charles conveyed to the community. He had to own that. It has to be his voice, even though there were a number of people who contributed to the decision-making process. It's the same model we follow each time something like this happens.
Shirley Long answered the question about Dr. Loomis’s leadership style by stating that he is extremely reflective and thoughtful. Any meeting you have with him and any situation you have like this he is actively listening and reflecting. I have been incredibly valued and my work has been valued. I have learned so much about the importance of reflection and a thoughtful approach. I really feel I learned that from Charles. He is non-judgmental. He wants to make sure that he has all of the information possible. He doesn’t want to react too quickly and undo something. There are times when people might suggest getting too far out in front. However, he would tell us that ‘I respect all of you and what you're saying but I need to hold back a little bit.’ And it has proven to be a correct decision all the time. However, when he does react, he’s sure.

In addition, Scott Everham described the Superintendent of Buchanan School District’s leadership style in the following manner.

From the very beginning, he contacted the police early on. He got us involved from the very first step and it showed a lot of transparency. His job was to get that in motion and get people in line to do their jobs. He facilitated getting that done. If they had done a separate internal investigation, it would have lasted three or four months and then to have called us in would have resulted in a possible belief that the teacher was being protected. All of that of course, is in the back of his mind and how it was going to play in the community. That didn't seem to affect his decision making process. There was a possibility of criminal activity and he got the police involved immediately.

Dan Devitt, participant from Polk School District, shared that his first contact regarding the situation was from Dr. Thompson. He said,

We have a Polk Central teacher who was arrested. I just assumed drunk driving or something to that affect. When [Dr. Thompson] told me who the teacher was and what the situation was, I said ‘Okay, just a second, go back and start over because now I need to get a different frame of mind because we're talking about something completely different. This is school related; it's going to directly impact what happens in the building.’ So that was my first contact regarding the situation and that was basically almost at the point of ‘okay, we need to get a sub in the room because she’s not going to be here today.’ I methodically worked out a plan of action with Dr. Thompson and determined the best initial steps.
Mr. Devitt went on to explain specific actions that the superintendent took by stating,

[Dr. Thompson] let me process through a number of steps and we really tried to hash out scenarios on how it would unfold. He laid out some clear guidelines on things that absolutely must happen, especially when it came to meeting with the media. On a professional level he trusted me to be the point person in the building and said if you need additional social workers/counselors then let me know. Dr. Thompson was serving as a support to the school throughout the problem but he really was instrumental in being my sounding board. Being a principal in this type of situation isn’t easy and it wouldn’t be any different for a superintendent. He actively listened to me and really helped me to understand a path to right this ship again because we didn’t need to go back to where we once were.

Pete Mitchell shared the following information regarding the actions his superintendent took when they were made aware of the impending scandal.

So, my phone goes off and I immediately get up and answer my phone. [The police] told us that they had just arrested this young lady with a student and all the gory details. You know I immediately found a way to get [Dr. Thompson’s] ear and to tell him what was going on. They were going to fill us in more and come back later. They did so the next morning. However, whenever it was, we immediately convened in the superintendent’s conference room, I believe it was the next morning, to determine what we will do and say.

Dr. Thompson was active in role identification strategies with Dan Devitt. Mr. Devitt said,

I had spent quite a bit of time the year before with my administrative team, under the guidance of Dr. Thompson, team building and determining our make-up as a group. That structuring process resulted in my ability to pull them together in an instant and say that “I need you in my office immediately.

Dan Devitt also noted in his interview response that

[PE teachers] wanted to meet with her and find out what she was thinking but after I spoke with Dr. Thompson, we discussed that level of appropriateness when it came to contacting her. They wanted to help but we advised them that they needed to exercise caution as well. Dr. Thompson provided a lot of guidance in this area. We told them if you make contact, you're making it as a friend and not as an employee of Polk Central.
Polk School District participant Cliff Epstein shared that Dr. Thompson was facilitating the creation of a stakeholder group from the highest level. In addition,

[Dr. Thompson] had attorneys on speed dial to just let them know what the situation was at, if we needed to have them as a resource, in regards to, you know, the staff member and what do we do with her future as a teacher.

Mr. Epstein went on to describe more actions his superintendent took to create a stakeholder group by sharing that

it’s easy to say that [the structure] has always been in place but it was modeled by Dr. Thompson and then it just became standard practice in all of the buildings.

During the visioning process, Dan Devitt states that

although Dr. Thompson and I knew that this situation was a big deal and that the teacher would be fired ASAP, we wanted to communicate to the staff that this was just a little bump in the road. We knew that it could become a huge bump to them if they treated it that way or it could be just a small bump if we choose to think of it that way. However, I don’t want you to think we weren’t considering the magnitude of the problem. Dr. Thompson was adamant that we remain transparent to the reality that this occurred and that we weren’t going to hide from it. We just refused to allow it to define us.

In regards to creating a vision for the educational system, Cliff Epstein noted the following actions of the superintendent.

I think it goes back to when we initially met with the building administrative team and Dr. Thompson regarding how we were going to attack this. Our vision would be that we want this to be resolved as quickly as possible. Also, Mike was always just extremely supportive and had a strong desire to know what's going on. If we needed input, if we needed suggestions he was the first person to offer ‘do this or try that.’

An action step noted by Dan Devitt, during the point in time when communication was being shared, was that

after the meeting we had that first day when we shared the facts of the situation, thanks to talking points created by Dr. Thompson and Pete Mitchell, there really wasn't any need to send much to staff and families beyond it.
He also shared that

Dr. Thompson really pushes transparency without breaking protections of confidentiality where appropriate. In this case, as soon as we were aware of the situation, it was immediately acted upon. The teacher was never in the building again. I think she retrieved her personal effects through an escort from district office representative after hours and that escort may have been Dr. Thompson. But other than that, boom...gone, no longer employed by the district.

In response to an inquiry regarding how the superintendent empowered the stakeholders, Lori Callahan stated that,

I would say it is this way across the district and was created by Dr. Thompson at district office. However, I've been here seven years and I don't think someone ever formally told me this is how we do it. It's just how we do it. I think they trust that we know how to do our job. It's one of the things that I love about Dr. Thompson.

When the same question was posed to Pete Mitchell, he stated

Everyone has a role and the expectation is that the role is carried out. Let me clarify. No one works or makes major decisions in isolation. People carry out their roles as defined by the structure Dr. Thompson put into place. People are then trusted to do the job they are supposed to do but no one decides how a situation of this magnitude will be determined alone.

Dan Devitt also discussed how successes were celebrated and stated,

Dr. Thompson and I wanted to make sure that we were able to congratulate the teachers for how they handled key pieces of their involvement with the students. For example, we didn't get a single call from a parent complaining that the daily routines of the students were interrupted. We acknowledged that and praise was given to the staff for handling it the best they could. We would tell them ‘outstanding job, way to go.’

He also shared that another superintendent action step happened when

Dr. Thompson and the Polk Central admin team debriefed well down the road and talked about suggestions for improvement. No one wants this thing to happen but the reality is that we’re not immune from it either.

In addition, Mr. Devitt noted that
Dr. Thompson made sure other schools in the district were on high alert that their services may be needed and was constantly gauging us to determine if they needed to be sent. Through the communication that went out, the support we had in place for students and staff and being transparent, I can say that we identified how we wanted this resolved and worked pretty hard to get there.

Pete Mitchell shared the following action taken by the superintendent,

The protocols that Dr. Thompson created and put into place kept us focused and on path. And Dan Devitt was a tough nut. You knew that when he talked, he was the boss. I give him credit for keeping staff on message and keeping a lid on things.

Near the end of the change process, Dan Devitt made the following statement,

Dr. Thompson and I talked and reflected often. This was as much about a peer support network as it was to determine the best course of action. It’s lonely the higher up you go in the organization and he served as my support and sounding board for a lot of decisions. His greatest impact on the admin team was to be there to help define what our goals needed to be to return to normalcy and he reeled us in and asked for better clarity when our ideas were a bit unfocused.

When asked about the leadership style of his superintendent, Dan Devitt stated,

Dr. Thompson’s leadership style is centered on his trust for the admin team to do the job that needed to get done. He hired us with a unique set of skills that are meant to balance each other. He was routinely in the loop to share his ideas and listen to ours. We found common ground on how to deal with the situation and he ensured that all the supports were in place for us to move past this. If this was two months into my first year, it may have been different. But because of Dr. Thompson’s team building and role identification expectations of the administrative team and the leg work we did as a building to create our vision for leadership, each person knew their role and executed it.

In response to the same question, Lori Callahan stated,

Dr. Thompson believes in us and he believes in what we can do. There’s a job we were hired to do and he expects that we have the skillset to get the job done. In situations like what we are discussing today, he would never micro manage us but he always knows what’s going on because he wants to pick your brain on what you’re thinking and what your next steps are? For the most part, he’ll have suggestions but he will trust your ideas first. If they don’t work, then you can certainly pick up where he left off.
**Thematic analysis.** According to Moustakas (1994), thematic analysis represents a level of patterned response or meaning from the data that is related to the research questions at hand. Determining what can be considered a theme can be used with deciding prevalence. This does not necessarily mean the frequency at which a theme occurs, but in terms of space within each data item and across the data set. It is ideal that the theme will occur numerous times across the data set, but a higher frequency does not necessarily mean that the theme is more important to understanding the data. A researcher's judgment is the key tool in determining which themes are more crucial. A potential data analysis pitfall occurs when researchers use the research question to code instead of creating codes and fail to provide adequate examples from the data. Eventually, themes need to provide an accurate understanding of the big picture.

An inductive approach to theme creation was utilized to address this research question. The process of coding occurred without trying to fit the data into a pre-existing model or frame (Moustakas, 1994). The following identified superintendent actions were placed into one of the following five defined themes; Trust, Problem-Solver, Reflective, Influencer, and Achiever.

Based on an analysis of interview data, common experiential themes regarding the words and actions of the superintendents who were interviewed became apparent. Gathering raw data from participants’ descriptions was only to be the first step of the process, one which required intense listening and probing of participants’ responses to gather as much detail about the experience as possible. The second part of the process, according to Moustakas (1994), was to describe the experience or phenomenon in terms of group commonalities and seek “general or universal meanings” (p. 13).
Based on interview responses from participants, the following list will serve as a summary of the analyzed interview responses to answer the question, according to the perceptions of district stakeholders, what words and actions did superintendents use to lead an educational system through a culture shift following the occurrence of a scandalous critical incident?

Through interview response data, participants of the system stated that the superintendent:

- Buchanan - asked pertinent questions
- Buchanan - was highly engaged in various steps of the shift
- Buchanan - was hands-on and involved in
- Buchanan - wanted to be in the know
- Buchanan - desired to be able to influence strategy and decisions
- Buchanan - liked to give input to the process
- Buchanan - acted quick to get the police involved
- Buchanan - doesn't want to give the appearance that there's some type of cover-up
- Buchanan - open to constructive feedback
- Buchanan - engaged in back and forth and discussion
- Buchanan - was collaborative
- Buchanan - allowed you to have the autonomy
- Buchanan - determined who the most influential stakeholder groups were
- Buchanan - was transparent in the process
• Buchanan - upheld community expectation
• Buchanan - empowered others to act
• Buchanan - offered praise to those who were doing quality work
• Buchanan - recognized as visible, accessible, and being decisive
• Buchanan - was extremely reflective and thoughtful
• Buchanan - listened and reflected actively
• Buchanan - was non-judgmental
• Buchanan - ensured he had all of the information
• Polk - worked out a plan of action
• Polk - laid out clear guidelines
• Polk - empowered a point person in the building
• Polk - served as a support to the school throughout the problem
• Polk - determined what we will do and say
• Polk - facilitated team building
• Polk - provided guidance
• Polk - facilitated the creation of a core stakeholder group
• Polk - communicated with stakeholders
• Polk - remained transparent
• Polk - created talking points
• Polk - empowered stakeholders
• Polk - created important structures/protocols prior to the scandal
• Polk - facilitated a reflection and debriefing session
• Polk - placed resources in other buildings on high alert
• Polk - defined vision
• Polk - trusted his admin team
• Polk - wanted to be in the loop of information
• Polk - never micro-managed

**Theme 1 - Trust.** The theme of trust is defined as a theme in which superintendent actions are observed by participants in the educational system. This includes, but is not limited to, creating valuable relationships with staff and stakeholders which allows others to act appropriately and morally without permission and reciprocates the same actions. Included below are the 13 described superintendent actions that fall within the theme of trust.

• doesn't want to give the appearance that there's some type of cover-up
• open to constructive feedback
• allowed you to have the autonomy
• was transparent in the process
• upheld community expectation
• empowered others to act
• offered praise to those who were doing quality work
• was non-judgmental
• empowered a point person in the building
• remained transparent
• empowered stakeholders
trusted his admin team
never micro-managed

Theme 2 - Problem solver. The theme of problem solver is defined as a theme in which superintendent actions are observed by participants in the educational system. This includes, but is not limited to, gathering information to understand the root cause of a problem and acting competently to address the situation. Included below are the five described superintendent actions that fall within the theme of trust.

- served as a support to the school throughout the problem
- placed resources in other buildings on high alert
- determined who the most influential stakeholder groups were
- was highly engaged in various steps of the shift
- desired to be able to influence strategy and decisions
- was hands-on and involved

Theme 3 - Reflective. The theme of reflective is defined as a theme in which superintendent actions are observed by participants in the educational system. This includes, but is not limited to, collecting information and filtering the information against prior experiences to potentially create action. Included below are the six described superintendent actions that fall within the theme of trust.

- asked pertinent questions
- wanted to be “in the know”
- engaged in back and forth and discussion
- was extremely reflective and thoughtful
• listened and reflected actively
• ensured he had all of the information

**Theme 4 - Influencer.** The theme of influencer is defined as a theme in which superintendent actions are observed by participants in the educational system. This includes, but is not limited to, engaging stakeholders in open discourse, being collaborative, considering solutions, and strategically sharing information intellectual property. Included below are the six described superintendent actions that fall within the theme of trust.
  • liked to give input to the process
  • was collaborative
  • determined what we will do and say
  • provided guidance
  • communicated with stakeholders
  • facilitated a reflection and debriefing session

**Theme 5 - Achiever.** The theme of achiever is defined as a theme in which in which superintendent actions are observed by participants in the educational system. This includes, but is not limited to, physical or mental tasks that are completed by the superintendent, and also completing tasks that could be delegated to others. Included below are the nine described superintendent actions that fall within the theme of trust.
  • acted quick to get the police involved
  • recognized as visible, accessible, and being decisive
  • worked out a plan of action
- laid out clear guidelines
- facilitated team building
- facilitated the creation of a core stakeholder group
- created talking points
- created important structures/protocols prior to the scandal
- defined vision

### Word frequency

The premise of word frequency is quite basic; to understand what the people being interviewed are talking about, simply monitor the words that they use. Words that occur often are seen as being salient in the minds of respondents. D’Andrade (1995) notes that, “perhaps the simplest and most direct indication of schematic organization in naturalistic discourse is the repetition of associative linkages” (p. 294). He observes that “indeed, anyone who has listened to long stretches of talk, whether generated by a friend, spouse, workmate, informant, or patient, knows how frequently people circle through the same network of ideas” (p. 287).

Word frequency in this research was formally analyzed through the use of the qualitative analysis software package NVivo 10. Interviews were transcribed and then specific references were coded into nodes based on the reported actions superintendents took to lead an educational system through a culture shift following the occurrence of a scandalous critical incident. Specific settings for the word frequency query included the ability to identify similarity in words through synonym recognition. The words were then further sorted based on their occurrence within the five themes and listed by the first letter of each theme in Table 19. Based entirely on the input provide by interview participants, the following list includes the 20 most frequently used words.
Table 19

**Word Frequency Table – Research Question 1**

<table>
<thead>
<tr>
<th>Word</th>
<th>Count</th>
<th>Weighted Percentage (%)</th>
<th>Theme Occurrence High to Low</th>
</tr>
</thead>
<tbody>
<tr>
<td>Active</td>
<td>1582</td>
<td>1.09</td>
<td>A, P, I, T, R</td>
</tr>
<tr>
<td>acts</td>
<td>1631</td>
<td>1.08</td>
<td>A, P, I, R, T</td>
</tr>
<tr>
<td>happened</td>
<td>1014</td>
<td>1.04</td>
<td>P, A, I, T, R</td>
</tr>
<tr>
<td>communication</td>
<td>1018</td>
<td>0.88</td>
<td>I, A, P, T, R</td>
</tr>
<tr>
<td>think</td>
<td>1274</td>
<td>0.79</td>
<td>R, I, A, T, P</td>
</tr>
<tr>
<td>need</td>
<td>414</td>
<td>0.77</td>
<td>A, P, R, I, T</td>
</tr>
<tr>
<td>make</td>
<td>1074</td>
<td>0.77</td>
<td>A, P, I, R, T</td>
</tr>
<tr>
<td>information</td>
<td>728</td>
<td>0.71</td>
<td>T, A, R, P, I</td>
</tr>
<tr>
<td>organization</td>
<td>496</td>
<td>0.64</td>
<td>T, R, A, P, I</td>
</tr>
<tr>
<td>events</td>
<td>936</td>
<td>0.61</td>
<td>P, A, T, R, I</td>
</tr>
<tr>
<td>message</td>
<td>739</td>
<td>0.61</td>
<td>I, P, A, T, R</td>
</tr>
<tr>
<td>whole</td>
<td>745</td>
<td>0.59</td>
<td>T, A, P, R, I</td>
</tr>
<tr>
<td>period</td>
<td>490</td>
<td>0.58</td>
<td>P, A, T, I, R</td>
</tr>
<tr>
<td>student</td>
<td>123</td>
<td>0.57</td>
<td>T, P, A, I, R</td>
</tr>
<tr>
<td>kids</td>
<td>112</td>
<td>0.55</td>
<td>T, P, A, I, R</td>
</tr>
<tr>
<td>point</td>
<td>874</td>
<td>0.55</td>
<td>A, P, T, R, I</td>
</tr>
<tr>
<td>move</td>
<td>955</td>
<td>0.54</td>
<td>P, A, T, R, I</td>
</tr>
<tr>
<td>change</td>
<td>674</td>
<td>0.54</td>
<td>P, A, T, R, I</td>
</tr>
<tr>
<td>thought</td>
<td>713</td>
<td>0.54</td>
<td>R, I, P, A, T</td>
</tr>
<tr>
<td>situation</td>
<td>394</td>
<td>0.53</td>
<td>P, I, A, T, R</td>
</tr>
</tbody>
</table>

**Summary of research question 1.** The following will serve as a summary of findings for the first research question; according to the perceptions of district stakeholders, what words and actions did superintendents use to lead an educational system through a culture shift following the occurrence of a scandalous critical incident? Data collected through semi-structured interviews was first sorted for indicators which categorized the data as specific actions carried out by the superintendent of the educational system. Next, data specific to actions carried out by the superintendent was analyzed and five generalizable themes were identified. These themes are entitled Trust, Problem-Solver, Reflective, Influencer, and Achiever. Definitions for these themes were
then created by the research and displayed with the superintendent actions associated with the created theme. It is important to note that a number of the actions within each theme were described by multiple stakeholders. The categorization method is not intended to indicate that the action occurred only once.

Although the actions that superintendents used to lead a culture shift were described, the words are also important. It could be interpreted that the words are the root of the data described in the interview responses and could be considered as already included in the thematic analysis. However, it was feasible to conduct a word query analysis through the usage of the NVivo 10 software package after the data was coded into specific nodes. This then allowed the researcher to group the top twenty-five most frequently used words into the generalizable themes.

**Research Question 2**

According to Kotter’s eight steps for change, what steps did superintendents accomplish to lead an educational system through a culture shift following the occurrence of a scandalous critical incident?

The answer to this question will be displayed via eight separate deductive themes based on Kotter’s eight steps for change. Deductive thematic analysis tends to be less descriptive overall because analysis is limited to the preconceived frames, in this case Kotter’s eight steps for change (Moustakas, 1994). Thus, the results tend to focus on the aspects of the data that were defined prior to data analysis. Within each step, reviewed literature will be presented, in addition to the horizontalization of data secured through both participant and superintendent interview responses.
The foundation for Kotter’s Eight Steps for Change. Kurt Lewin, considered to be the father of change (Harvey & Broyles, 2010), posits a model for change consisting of three stages. According to Harvey and Broyles, this model for change is presented as a process rather than a single event.

In unfreezing, the first stage of Lewin’s model, motivation to change comes by making the desired change more valuable than remaining content with the status quo (Schein, 2013). This stage of Lewin’s model for change suggests the need to present and communicate a sense of urgency and a clear vision (Harvey & Broyles, 2010; Kotter, 1996).

In stage two of Lewin’s model, referred to as movement, the organization progresses toward the desired change. This movement is facilitated by minimizing barriers. Leaders successful at minimizing barriers develop the momentum to change the organization (Kotter, 1996; Kotter & Schlesinger, 2008). Minimizing barriers is connected to the leader’s ability to provide support for members of the organization to acquire the necessary skills for successful change (Kotter, 1996; Kotter & Schlesinger, 2008).

The third stage in Lewin’s model is referred to as refreezing. During this stage leaders capitalize on successes. Here the change is functionally normalized (Harvey & Broyles, 2010). Organizations can be fragile at this time, but it is important to ground changes in the culture of the organization. Without changing the culture, old practices are likely to recur (Kotter, 1996).

Using Lewin’s model for change, John Kotter (1996) author of Leading Change, outlines eight steps for leading successful change. Integrating these strategies with
Lewin’s stages yields successful results in changing organizations (Kotter & Schlesinger, 2013). The eight steps are listed below.

1. Establish a sense of urgency
2. Create a guiding coalition
3. Develop a vision and strategy
4. Communicate the change vision
5. Empower broad-based action
6. Generate short-term wins
7. Consolidate gains and produce more change
8. Anchor new approaches in the culture. (Kotter, 1996, p. 21)

**Theme 1 – Establish a sense of urgency (Step 1).** It is difficult to inspire members to change unless there is appropriate stress to make change more desirable than maintaining the status quo (Kotter, 2006). According to Lewin, leaders need to unfreeze members of the organization in order to get them to change (Harvey & Broyles, 2010). Creating a sense of urgency is a critical component to motivating change (Kotter, 2006). Like Lewin’s first stage in driving change, the right amount of stress is needed to urge the inclination for change (Harvey & Broyles, 2010). In school settings, like business, Fullan (2001) called “equilibrium the precursor to death” (p. 108). Fullan constructed the picture of the organization faced with threat or great opportunity as moving toward chaos and emerging in a new form. Change requires creating a new system. Creating a new system requires leadership. If the urgency rate is not substantial enough, the transformation will not be successful because the need to change is not perceived as necessary.

Communication of this sense of urgency needs to be done broadly and dramatically.

Within the theme of establishing a sense of urgency, the first question of the interview protocols was proctored as follows; after the scandalous critical incident occurred in your educational system, do you feel the superintendent established a sense of
urgency to shift the culture of the system? Can you provide details or examples regarding why you feel this way? The following horizontalization of the data within this theme was provided by those who participated in the interviews based on question one of the interview protocols and specifically addressed whether or not a sense of urgency was established.

Dan Devitt felt a sense of urgency was quickly established as determined by the following response.

There definitely was a sense of urgency. My first contact regarding the situation was from Dr. Thompson. He basically said we have a Polk Central teacher who was arrested. I just assumed drunk driving or something to that affect. When he told me who the teacher was and what the situation was, I said okay, just a second, go back and start over because now I need to get a different frame of mind because we're talking about something completely different. This is school related; it's going to directly impact what happens in the building. So that was my first contact regarding the situation and that was basically almost at the point of ‘okay, we need to get a sub in the room because she's not going to be here today.’ I methodically work out a plan of action with Dr. Thompson and determine the best initial steps.

Another participant, Lori Callahan, also felt that a sense of urgency was established. She said,

Yes. I would say there was a sense of urgency. And definitely a sense of urgency, not only to rectify the immediate situation of you know, do you need to remove the teacher from the building, are students safe, but how do we clean up, how do we you know once we remove the situation, um how do we um focus on you know maintaining an orderly learning environment. I think was really Dr. Thompson’s focus.

Other participants alluded to a sense of urgency but did not necessarily indicate that it was clearly present based on their response. For example, Pete Mitchell discussed a series of events that shifted the focus away from standard operations. He stated,

[The police] told us that they had just arrested this young lady with a student and all the gory details. You know I immediately found a way to get his ear and to tell
him what was going on. They were going to fill us in more and come back later. They did so the next morning. However, whenever it was, we immediately convened around the superintendent’s conference room, I believe it was the next morning, to determine what we will do and say.

Cliff Epstein also alluded to a sense of urgency with his reply to the question.

Anytime when you have a staff or student crisis, it's important to get movement on it quickly. So from my understanding when the district office was aware of the situation, and I can’t remember specifically who was notified first, if it was the district they notified us immediately or if it was us, then we notified them immediately and developed a plan of action to move forward.

In addition, Shirley Long described the following,

I immediately began to determine who I would need to talk to and when I would need to talk to them. I may not have been the first person but when it was brought to my attention, it was serious. I began note-taking right from the start, the immediate feeling that I'm not going to sit on this. Who do I need to talk with; how quick can I talk with them?

The phrases, “it was serious, I’m not going to sit on this, and who do I need to talk with and how quickly can I talk with them” all indicate a heightened sense of awareness to a problem that would require attention.

Moreover, after querying both superintendents about this Mike Thompson stated,

We definitely created a sense of urgency and I think it was my role to be the lead for that concept,

and Charles Loomis replied,

In this situation, where it’s starting to come together that an embezzlement has occurred, yes, you do have to create a sense of urgency but it's controlled urgency.

With nearly all participants indicating a sense of urgency was established and both superintendents replying in the same manner, the answer to the research question regarding this component of Kotter’s (1996) eight steps for change is yes, the establishment of a sense of urgency was accomplished.
Theme 2 – Create a guiding coalition (Step 2). A high sense of urgency helps when putting together a guiding coalition (Kotter, 2006; Kotter & Cohen, 2002). In successful change, organizations develop powerful guiding coalitions (Kotter, 2006). When creating movement, found in the second stage of Lewin’s model, coalitions are instrumental in helping members let go of old patterns. A strong guiding coalition represents members of the team. They are diverse in position, expertise, reputation, and relationships (Kotter 1996, 2006). Organizations can experience success in a change initiative but the success might be short term if the guiding coalition is not established. This team has skill, rapport, influence, and relationships that will provide change leadership. A team less equipped will not provide the impetus for the needed change and leave the landscape sprinkled with frustration (Kotter & Schlesinger, 2013).

Within the theme of creating a guiding coalition, the second question of the interview protocols asked participants if there was a creation of a stakeholder group to shift the culture after the scandalous critical incident occurred. The following horizontalization of the data within this theme was provided by those who participated in the interviews based on question two of the interview protocols and specifically addressed whether or not a stakeholder group was created.

Superintendent Loomis made the following statement.

In this situation one [a stakeholder group] was created by role and position. Police detective or chief wouldn’t matter if I trust them or not, I need someone in that role. Second are people who are close to the problem that will have an intimate knowledge of what’s going on. Third are people who I believe can remain confidential and can be trusted. Fourth, if after they have those [traits], then it would be absolutely wonderful if they have a track record of good common sense and a good compass.
Polk School District Superintendent, Mike Thompson shared the following response.

Uh...fair question. And before I identify those people I would say that you need people who are directly impacted by this. And they're the same people who are going to grab the shovel and help you dig out and that’s important. So before we would identify stakeholders for this situation, key to the systems success is trying to hire the right people who are going to step up and do the hard work with you.

He went on to state that

in this case, I don’t involve my assistant for curriculum or the business department or student services. I definitely involve my administrator for personnel because of the likelihood that this is going to go to a teacher dismissal. So the lawyer, the board president, who in turn is responsible for sharing as much as he or she chooses to share with the rest of the board, but we are also guiding them with talking points so that when he gets a phone call, then this is his answer. Anything beyond this answer is going to compromise the district.

Although Will Arnett did not specifically say that a stakeholder group was formed, he discussed members of a circle of key people. However, his description includes more stakeholders in the core group that he describes than the responses indicate from other interview participants within his educational system.

Superintendent, Human Resources Director, Public Relations, and about that same time there were a handful of people who directly involved in the situation that became part of the circle when the police decided to launch an investigation. Then it moves beyond a nucleus of a half-dozen people to 12 people or a few more than a dozen who had some awareness of the issue. They suspected something was amiss but they didn't quite know what it was. After that had transpired over two weeks, then I’m brought in to the loop. They're very good to do that when they feel that it could reach the level that there would be greater public scrutiny or interest or police involvement so we can all begin thinking and strategizing.

Shirley Long did specifically mention a stakeholder group in her response.

We looked at the situation like degrees of separation. There were some obvious names; me in my role, principal of the high school, Charles, Will, and police. The people we interviewed were her direct supervisor, somebody who reported it and possibly viewed anything that may have taken place. From there it was really trying to determine how big this could be. It started with just an incident of
missing money and quickly grew to ‘wow, what do we really have here’ but basically then where do we want to narrow or focus. The interviewing we set up to happen in a strategic manner. I had a police officer and an attorney scripting notes in the meeting. They had a union rep if the person warranted one. Parent boosters would come in. We also pulled, relatively soon, a communications team together to determine where we needed to go with the investigation and this helped craft the interview questions based on that. The stakeholder group had layers in this process and depending on where the person was at in the layer dictated what their involvement in the process was. The BOE was also involved from the start.

Scott Everham, the School Resource Officer also felt that a stakeholder group was created but differs in who he feels was a part of the group. He states,

Yes. From my end, it was Shirley Long, Dr. Loomis and the police. However, the union got involved because of protecting the member of the bargaining unit. Accountants were involved to look over the books.

In the Polk School District, Dan Devitt discusses a stakeholder group based on building level leaders. He indicates that through his conversations with Dr. Thompson that he would become the point person at the building level and made the following statement,

Yes. The initial team at the building level and actually as the situation occurred it was fairly close to the start of my second year as a principal, it was the assistant principals, and the associate principal. Bear in mind that there were other issues before I came, and I had been righting a broken ship for nearly 18 months.

Cliff Epstein also discusses a building level group that was created but his description of the stakeholder group is not in line with other interview participants from the Polk School District.

I would probably say it was the principal, assistant principals, and the uh...special ed. administrator. That pretty much makes up the administrative team in our building and then I can't remember if we went to the BLT team, which would then include the division chairs. And then, from there, it included the deans, the counselors, and the social workers. That was really the first initial group.

Cliff went on to say that
the administrative team meets in the morning and says ‘Alright, we need to go through this, let's notify them as a team. Where are we going to put them? How are we going to let kids get in there? Do we have enough staff to facilitate that?’ Just like Dr. Thompson would have the same meeting at District office with his core team and we were the people being notified of the steps that were being taken.

Mr. Epstein’s response also indicates the creation of multiple stakeholder groups, which is not in line with Kotter’s (1996) description of the second step in his eight steps for change.

Furthermore, Lori Callahan agrees that a stakeholder group was formed but her description of the stakeholder delves even further into the school and describes her department as the stakeholder group. She stated,

I think as far as the building was concerned, [uses air quotes] ‘we’ was me and my department because it was not a classroom issue. The superintendent role was to coordinate the discipline of the staff, make sure that the building is safe; that the learning environment is respected and safe. Um, it really came from an educational perspective. ‘We’ [uses air quotes] at the building were obviously trying to make sure that the educational component continued to take place, you know, and that was the strongest component; that her kids went to class and learned. But our role was so much different. We, as in our department, were very removed from the legal aspect of this. I felt like the district office, the superintendent's role, was really taking the role of discipline and to make sure that it was kept totally separate from the people perspective, meaning students and staff.

Brian Greene reported that if a stakeholder group was ever formed, he was unaware of it.

I wasn't really in those meetings. I really wasn't a part of all that. If those meetings happened whatever was decided came to me.

Although both superintendents indicate that a stakeholder group was formed in their educational system, there is little consensus amongst each educational system regarding who was a part of the stakeholder group. The answer to the research question
regarding this component of Kotter’s (1996) eight steps for change is no, the creation of a core stakeholder group was not accomplished. Although eight participants in the interviews noted that stakeholder groups were formed, different group members cannot yield a definitive yes within this theme.

Theme 3 – Develop a vision and strategy (Step 3). In Lewin’s change theory, continuing in Stage 2—movement, getting members of the organization to move to Point B (see Figure 1) requires establishing an attractiveness that makes moving desirable (Harvey & Broyles, 2010). It is up to the leader to develop a picture for the future for all stakeholders (Kotter, 1996). Kotter contended that empowering people for effective change requires a shared sense of purpose and vision.

Organizations have the ability to deny or repress accepting that there is a problem because they cannot conceive of any solution. Effective leadership can cast a vision allowing an organization to acknowledge that change is needed because it casts a vision of options allowing them to move forward (Harvey & Broyles, 2010). The development of vision might begin with a single individual. According to Kotter (1996) this individual’s thoughts are a big picture, somewhat fuzzy or unclear. Overtime, as the leader develops a guiding coalition, his or her joint efforts help the vision come into focus.

Within the theme of developing a vision and strategy, the third question of the interview protocols asked participants to determine if an effort was established that allowed for members of the educational system to create a vision for the future and shift the culture. The following horizontalization of the data within this theme was provided by
those who participated in the interviews based on question three of the interview protocols and specifically addressed whether or not a vision and strategy was created.

Will Arnett, of the Buchanan School District, felt that a vision was created and that it was centered on transparency.

What can we be transparent about at this time without jeopardizing the investigation? We know our community holds us accountable for transparency. We're always asking ourselves is it time to communicate and what can we communicate. Our goal is never to prevent or inhibit communication. Were always asking can we communicate at this point and what can we communicate? I alluded to not wanting to jeopardize the investigation. We have a great working relationship with our police department and that plays out over and over again. There are half dozen different police agencies serving our demographic area. Some of them we have a great working relationship, others we don't know quite as well. Sometimes we're developing these things as we go.

Another member of the Buchanan School District, Scott Everham, felt that the vision was the removal of the person at the center of the scandal from the educational system. He said,

Well the person who was the focus of the investigation ended up resigning. That took a lot of the heat and urgency away from the district. They simply put it on the police. She is no longer an employee of ours. It's not our concern. It's now a police matter. They put that on to us.

In the Polk School District, Dan Devitt felt a return to normalcy was the vision. Dan stated,

Um, I think that happened almost right from the start. The vision was to quickly get us back to a sense of normalcy at Polk Central; to get things moving back in our positive direction. Although Dr. Thompson and I knew it that this situation was a big deal and that the teacher would be fired ASAP, we wanted to communicate to the staff that this was just a little bump in the road. We knew that it could become a huge bump to them if they treated it that way or it could be just a small bump if we choose to think of it that way. However, I don’t want you to think we weren’t considering the magnitude of the problem. Dr. Thompson was adamant that we remain transparent to the reality that this occurred and that we weren’t going to hide from it. We just refused to allow it to define us.
Cliff Epstein agrees that a vision was created and that it was simply to resolve the situation. However, his description of the vision focuses on an operational perspective, including the removal of the media from the premises.

I think it goes back to when we initially met with the building administrative team and Dr. Thompson regarding how we were going to attack this. Our vision would be that we want this to be resolved as quickly as possible. We want the... you know, one of the biggest things, dealing with the news coverage to be over. We've got guys in trucks walking up to the front door with cameras trying to take a picture of the building or trying to interview kids.

No vision was created according to Lori Callahan, member of the Polk School District.

No. I think we entered crisis mode. I think if you asked us now how we would have handled that, I think that would have looked a little different. I think we would have had a little bit more concrete example of what that would look like. Um, but I think every crisis situation is so unique.

Brian Greene described a personal vision and it was to determine if I missed something as the leader of that department. Did I miss a warning sign? So it forced me to look at my staff a little different; checking in with them a little more. And I felt like I did a good job of that. I knew them all really well but it made me step up my game a little more where I really tried to be more active and meet with them more. I think just making sure we were there for the kids. As far as a whole school vision, I don't feel like I was a part of that.

Superintendent Loomis offered the following statement when asked about the creation of a vision for the educational system.

What I try to do in the actions we’re taking at a point in time I am always trying to think of the alphabet. We're going to go from A to Z. There’s not just one Z. There’s probably four different Z's. At point A in time, you’re not always sure how it's going to end up. It’s like a chess game; I'm trying to assess all of the different moves. If I'm turning right or left, what is the downstream effect if I go right or left and what is the effect on me if it goes bad?

His statement indicates a proclivity for problem solving and systems thinking. However, there is no indication that a vision for the system was created.
Polk School District Superintendent, Mike Thompson, stated that,

Our vision is justice for the student and the teacher. Whatever that is, and in my experiences and I'm not suggesting in any way to be an expert, 35 years of experience with five or six situations of this magnitude, but in each and every case, the allegations were true and the teacher was guilty...period. And to emerge from that having recaptured, or at least regained some trust back from the community. Ah...one of the other very important variables was personal contact. Media, there's times they need to see the superintendent but generally they just want information. Community relations can do that. While initially I or the board president may attend that conference, after the first two it will be the Director of Communications, but prior to that, there has to be a personal message delivered to staff, preferable within 24 hours of learning of the incident.

Although Dr. Thompson’s vision could be developed into a vision for the system, there is no evidence in the Polk School District participant responses to question three that the vision was understood and embraced by all stakeholders.

Responses to the third question in the interview protocols indicate that nearly all participants can articulate a vision of what they would ideally like to attain as a potential future for their system, only one participant readily admitted that no vision for the system was created. However, there is no continuity amongst the developed visions, when according to Kotter (1996), there needs to be one single vision for the system that is developed by the core stakeholder group. The answer to the research question is no, the development of a vision and strategy was not accomplished within this theme.

**Theme 4 – Communicate the change vision (Step 4).** The membership of an organization often does not understand the vision because it has been poorly communicated. Kotter (2006) noted that 50% of transformations fail because leaders overlook the need to communicate the sense of need for the change, they overestimate the effectiveness of the shared communication, or they avoid the task of bringing up the need
for change. This is often due to the difficulty of bringing up the dire need because it sounds negative.

Communicating vision effectively cannot occur when the efforts to share information are represented by single presentations, occasional meetings, or information in newsletters. A leader is responsible for ensuring that affected stakeholders give the relevant information to substantiate the need for change. Communicating the logic and need for change in advance can reduce the resistance to change (Kotter, 2006; Kotter & Schlesinger, 2008).

Within the theme of communicating the change vision, the fourth question of the interview protocols asked participants to determine if the vision for the future was communicated to all stakeholders in the educational community during the culture shift. The following horizontalization of the data within this theme was provided by those who participated in the interviews based on question four of the interview protocols and specifically addressed whether or not a vision for change was communicated to all stakeholders.

When Charles Loomis was asked if the vision for the future was communicated to all stakeholders during the culture shift, he responded that

sometimes it is and sometimes it isn't. Some people can’t see six moves ahead in chess and some people can only see three moves. I don't think you can show all of that to people but in situations in which I know it is going to be a quick turnaround, I'll ask people to play both angles in their work. I may ask the communications person to run B instead of A but only change this single word. Then it's fast and we're ahead of the communication.

Dr. Loomis’s response indicates that there are times when he does not believe that all stakeholders are capable of understanding a vision for change.
As a result of Dr. Thompson’s vision regarding justice for the student and teacher
his communication for that vision takes a somber tone. He states,

The Polk School District family has suffered a loss and when a family suffers a
loss they come together. We have thirty buildings. This building suffered a loss so
we come support each other when possible. In real life, if we live out of state we
come home. The family comes home so the superintendent is visible and it's a lot of
‘thanks.’ They don't even know why they are thanking me. Except, I think
there’s a comfort in knowing, there's a comfort through my role in being present,
and yes I have my antenna out and I'm gauging and recognizing are we still okay?
Do we need supports? Those supports, I guess I would throw in, need to extend
beyond the instructional day. The media center is open tonight if any family or
student would like to return to school to talk with a counselor, then we're here.

Will Arnett’s vision for system change includes transparency in the process. Thus,

his focus on how that vision is communicated is filtered through that lens. He states,

Part of my role, and everybody does this, your antennae go up. As the circle grew
larger, we were well aware of the influence of the rumor mill. We were constantly
taking a dipstick measurement of the awareness that existed beyond the core
group. That was one of the levers that helps us to determine what we are going to
communicate and when we are going to communicate it. At a certain point, the
investigation, the knowledge of the investigation, the number of people involved
reached a critical mass. We knew that we could no longer wait before we
communicated something. However, the build-up to this provided a little more
time for us to listen to what we were hearing and evaluate what we were hearing
and then make decisions on a communication strategy.

Shirley Long displays a sense of trust in Will Arnett’s ability to communicate the
vision. When prompted with question four, she responded,

Will is very involved with that. He will draft and have something ready as a
possible release from the district. Get it drafted, have some eyes on it. He
anticipated that there could be an arrest and had ideas of how to communicate
that. His goal is to make sure we get out in front of things. This helps with our
integrity in the community. This person is a high profile individual and rumors
start flying quickly. We had to do something but there was also a conversation
with their own department over there. In the meantime, we were pulling people
who are involved in the investigation.
Scott Everham provided a brief response that was in line with Will Arnett’s desire for transparency. He said, “The district is always trying to be as transparent as possible. This situation was no different in my opinion.”

In the Polk School District, Dan Devitt’s vision to return to normalcy, as delineated in his response to question three, is supported with the following response.

After the meeting we had that first day when we shared the facts of the situation, thanks to talking points created by Dr. Thompson and Pete Mitchell, there really wasn't any need to send much to staff and families beyond it. Remember that she resigned within 14 days of her arrest. Our focus with the teachers was to keep them focused on what they were supposed to be doing.

Mr. Devitt’s response provides little indication of a vision strategy that is long-term and consequently the communication of that vision is limited as well.

Cliff Epstein also was consistent in his approach to communicate his vision, similar to Dan Devitt. However, since his vision came from an operational perspective, his communication for the vision was also limited to setting protocols for how to deal with the situation in the short term.

I walked into some of the dance room classes and literally talked with the kids or it was the kids who were, because I remember we had another station on the stage in the auditorium where if kids they felt like they needed to come, basically in the sense that if it was a death of a staff member or a student, this is where you can come and talk and grieve and have some support; same philosophy for this situation. If kids would come in, they would have the opportunity to come and loiter around and talk to their friends and talk about, you know, in the sense the good times that we had with this teacher and how do we move forward. The counselors, social workers or whoever was in there at the time was in charge of facilitating that. It's almost as if there is a sense of grieving taking place. That first day, the kids, the females specifically were very upset.

As he states in question three, “Our vision would be that we want this to be resolved as quickly as possible,” his responses to question four are reflective of his vision to provide operational resources to resolve the situation.
Again, in line with previous analyses of step four of Kotter’s eight steps for change, as Lori Callahan did not feel a vision was created, she took no ownership in what was communicated out regarding the vision. She stated,

Um, I had nothing to do with what was delivered communication wise. That was a pretty big scandal and you're on the evening news, it's not a good thing. That would typically been a Pete Mitchell thing, who I know you're meeting with today. Dr. Thompson and Pete always work together to generate talking points and communication to send to the community.

Finally, Brian Greene’s personal vision discussed in the previous section is further reflected in his response to question four. He felt the communication of his personal vision was mostly face-to-face, in an effort to be more personable with them.

I didn't send anything out via e-mail or memo regarding the incident to my team. As a team we also talked about what's going to happen when the student who was involved came back to school. There were a number of students who were resentful of him and my job was to make sure that I processed the fact that he was a kid and made a mistake with his peers. I would call down and get a social worker to come in and help as well when the topic started to resurface amongst the students.

His response further supports his vision to make sure he supported the department he was responsible for leading.

An interesting phenomenon became apparent within the analysis of this step. As interview responses indicate that a link exists between developing a vision and communicating the vision. Nearly all participants responded to question four by building upon their response to question three. For example, if the participant created a personal vision in question three, then the participant discussed how he communicated that personal vision in question four. If the participant response in question three was operational and short term in nature then the communication of that response in question four was also operational and short term.
Consequently, responses to the fourth question in the interview protocols indicate that nearly all participants communicated the vision they described in question three, with only one participant stating that she is not part of the communication process. However, noting that the visions developed and discussed in question three were inconsistent and not centralized to a common theme within the respective educational system, the communication regarding the vision is also inconsistent. The answer to the research question regarding whether or not this component of Kotter’s (1996) eight steps for change was accomplished is no within this theme.

**Theme 5 – Empowering broad-based action (Step 5).** Like any organization, asking teachers to change a personal practice requires removing obstacles. Asking teachers to change engrained instructional practice requires giving them new tools to use. Often that requires encouraging members of the organization to take risks. An identified reason for resistance to changing instructional practice is attributed to lack of support in the school environment. Teachers expressed fear of experimenting with new strategies. When employees are poorly equipped for a change they experience fear and anxiety (Kotter, 1996).

It is important for leaders to properly assess the capabilities of employees (Herold & Fedor, 2008). The learner anxiety can be reduced by equipping members of the organization through professional development, reducing the fear of failure in an environment where risk taking is valued (Schein, 1992). Fullan (2001) noted that teachers experience a sense of security from established patterns and routines. Disrupting these routines causes fear.
Within the theme of empowering broad-based action, the fifth question of the interview protocols asked participants if stakeholders were empowered to implement the vision for the future and make changes during the culture shift. The following horizontalization of the data within this theme was provided by those who participated in the interviews based on question five of the interview protocols and specifically addressed whether or not stakeholders were empowered with broad-based action to implement the vision.

According to Will Arnett,

Empowered is not the word I would choose to use. I think that they were aware of the steps that were being taken. They were equipped to communicate based on the information they could share at the time. Equipped is a better word. We can't accurately represent all of the facts in every conversation that's happening out there, so we are equipping them so they can speak on our behalf, realizing that things may be editorialized and elaborated on. We can't ultimately control that. But if they are trustworthy individuals, if we have a relationship with them there already, some credibility that exists, we're comfortable giving them as much info as we possibly can and asking them to speak on our behalf.

Mr. Arnett’s response indicates he would not use the word empower. His approach is to equip stakeholders with a consistent message to speak on the system’s behalf. This approach is not in line with Kotter’s (1996) statement to empower stakeholders with broad-based action.

Shirley Long felt that she was empowered to act from the beginning of the situation. She states,

I absolutely felt empowered from the start. I probably questioned myself more than anything; double checking and triple checking...making sure that anything I had in my mind as possible next steps were communicated to Charles and that he felt like I was on the right track. I was empowered to speak with attorneys and auditors. I crafted updates for the board. He allowed me to handle it with the knowledge that I'm not doing it in a vacuum.
However, Shirley’s feeling of empowerment is not aligned to a consistent vision for change, as indicated by Kotter (1996). Based on her response, her sense of empowerment is based on the functions of her role within the system.

Dan Devitt’s response focuses on how he helped his building level admin team determine roles and responsibilities which resulted in his belief that they are empowered to act in their current role, which by all accounts after examining interview responses, they are. However, based on step 5 of Kotter’s (1996) eight steps for change the determination of whether or not they are empowered with broad-based action to implement the vision is missing. Simply put, there is no collective vision defined in step three for his building based admin team to act upon.

He said,

The year before, we spent hours and hours building the philosophy of our admin team. Dr. Thompson really wanted to make sure that this happened with the building leadership team at Polk Central and made this a key part of my job and I’m happy he did it. As a group we would meet every Thursday with the first two to three hours dedicated to team building. In the afternoon we would pull in all of the department chairs. It totaled to about five hours of goals, philosophies, every Thursday. We wanted to have a common understanding of what we believe, and how we saw things. A lot of our talks that first year were on leadership. Each person is empowered to do their job. This allows me the freedom to get involved in other things, including meetings with students that would never happened if I was watching someone else do their job. I truly believe that you hire quality people, get them on the same page and let them do their job.

Cliff Epstein’s response to question five is focused on the district expectation that employees complete compliance tutorials and does not adequately address if participants are empowered with broad-based action to carry out the vision for change. He states,

So, the district as a whole brought in these tutorials. I think they're called GCN. We actually took nine tutorials. Boundaries, ethics, blood borne pathogens, discrimination, sexual harassment, you name it. We’ve taken the stance from in the building that, ‘Hey, know your boundaries.’ Such as texting, what to stay
away from...don’t put yourself in these positions. Hey, if you’ve got a student in your room you don’t have a door shut having a private conversation. Sit by the door and have the door open. If you’re a male coach and you’re coaching a female sport, put yourself in good positions. If you’re a Driver's Ed teacher don’t drive in the car with a kid by yourself. Are you crazy? Those types of things have come out more. I'm more old school. That's the way I was brought up, so it's easier for me to talk about it with staff. I think those have all come from those types of interactions. And this was Mike’s idea. We not only had more module training but we followed it up with discussion groups about what we took away from the modules. I know we never did that before. He led us through it first and said let’s look at the various degrees of what is acceptable and see where each other stands on it. Some interesting discussion came out of it and I think that is sticking more than the modules themselves.

In Polk School District, Lori Callahan states that she is empowered. She responded,

I can make that decision on my own because I have been empowered to make that decision. As a district, Dr. Thompson set us up so that the district handles the community, um [pause] confirming information. How we handle the people, the students, the staff, the parents, um really in our building comes down to the Polk Central admin. And the role I play in the building is to communicate information with them when a crisis situation happens to figure out how we're going to address that, you know whether students coming to the office or staff coming to the office or are we going to set up some type of community counseling situation. I just do it. It's just automatic.

Like Mr. Devitt’s response, Lori is referring to the empowerment she feels in her role within the system. Her response does not include evidence which suggests that she is empowered to carry out the vision for change, especially in light of the fact that in question three Lori responded “no” when asked if a vision was developed and when asked about communicating that vision, she responded that “had no role in communicating” a vision.

Pete Mitchell states that stakeholders are not empowered with broad-based action to carry out the vision for change. When asked the question, he states,
No, absolutely not. It is coordinated. Everyone has a role and the expectation is that the role is carried out. Let me clarify. No one works or makes major decisions in isolation. People carry out their roles as defined by the structure Dr. Thompson put into place. People are then trusted to do the job they are supposed to do but no one decides how a situation of this magnitude will be determined alone. We coordinate discourse and coaching to ensure that newcomers understand the system. Anything that is going to draw public attention, you can bet the neighbors are going to see it. Building admin must let us know so that we decide whether to ratchet it up or dial it back.

By the very nature of a “no” response, Pete Mitchell’s response is not in alignment with Kotter’s (1996) fifth step of change.

Finally, Brian Greene provided a response akin to Dan Devitt and Lori Callahan. He stated,

You know even in my role now, I don't always have to have my assistant principal watching over my shoulder to see what the division chairs are doing. Like I said, I work closely with Cliff and Stan. It was very seldom that I felt like they were down there watching what I was doing.

His response indicates a sense of empowerment over his role and is not indicative of an understanding of broad-based action to implement the vision for change.

Superintendent Loomis states that,

You have to really start building relationships with your team. You have to know their talents, capacities, and skillsets. You have to know that they feel comfortable accessing you whenever they need to and that you will ensure that access is available for them. If you work with people enough, they start knowing when they might be getting too far out on a limb or too far over their skis. If their smart, they'll know to pull back...check-in, touch base and firm up the other person holding the limb. Again, knowing those people well and they knowing you well helps. But if you get a person who doesn't know when to ask or check back in [sighs with hands in the air]... My gut feeling is that you need to get rid of them.

Examining Dr. Loomis’s response indicates that he has not empowered his team with broad-based action to carry out a vision for change.

Dr. Thompson states,
Administrators are respected and they do a lot of those extra things but if you don't tap into your teacher work force and recognize when it comes to a message from the district, those two thousand people are the very best ambassadors I've got. I just need to equip them with the information and value them, respect them. If they feel valued and they feel respected and a parent asks, they're not going to tell them anything that isn't already public but this came from the Superintendent. It didn't come from the newspaper. The info came from inside the system.

This response indicates that he will empower stakeholders with broad-based action to implement the change vision. However, based on responses provided by the interview participants of his educational system, they are not carrying out a vision for the system.

Upon examination of the responses provided to question five, all statements take a different perspective. Only one response indicates that stakeholders are empowered with broad-based action to carry out the vision. Although many respondents indicate that they feel empowered in their role or position, this is not in line with Kotter’s (1996) definition of stage five. Furthermore, two people who responded to question five either, did not like the word empower or were not in favor of empowering stakeholders in general. Thus, the answer to the research question regarding whether or not this component of Kotter’s (1996) eight steps for change was accomplished is no.

Theme 6 – Generating short-term wins (Step 6). If leaders do not balance time between communicating urgency and celebrating wins, teams will lose momentum and begin to feel defeated (Kotter, 1996). People want to be associated with success. They want to do a good job and be recognized for the hard work they put forth (Fullan, 1993). People want to be a part of a winning team and feel they are making a difference (Fullan, 2001). According to Kotter (1996) short-term wins have three attributes. First of all, short-term wins are visible. They stand out as real and indisputable. Second, the success
is unambiguous and definitive. Finally, the win is indisputably attributed to the change initiative.

Short-term wins play a role in the success of the change process. They provide reinforcement and encouragement that the sacrifices made and energy spent is improving performance. It is also good for the organization to take a breath, relax, and celebrate. Long-term, unrelenting stress is counterproductive. Kotter (1996) contended that this opportunity to celebrate provides the organization time to use data for reflecting on the vision and its accuracy. It provides time for the organization to fine tune the vision. In organizations, in particular those with resisters, celebrating the improvement in performance can disarm the cynics and those trying to undermine change. Kotter goes on to explain the importance of keeping all management on board with the change. For change to stay on track, leaders need evidence that the change is productive and positive. Finally, the recognition of short-term wins helps to build momentum (Fullan, 1993; Kotter, 1996). It is easy to assume that, while looking for major change to be successful, leaders focus on long-term results; planning for short-term wins brings credibility to the efforts of the team.

Within the theme of generating short term wins, the sixth question of the interview protocols asked participants if short term successes were ever celebrated during the culture shift? Can you provide details or examples regarding why you feel this way? The following horizontalization of the data within this theme was provided by those who participated in the interviews based on question six of the interview protocols and specifically addressed whether or not short-term wins were generated and then celebrated.
Buchanan School District Superintendent, Charles Loomis shared the following response to question six.

In this job, once you put out one fire, you're going to have another one coming at you. It's always a long march. I do think that while we may not get up on a podium and jump up and down, we will congratulate each other on a nice job and comment on hitting all of the right points at the right time. When dealing with a scandal, it has to be that underlying gratification that you were able to move yourself forward. I don't want to outwardly throw a party but good leadership is all about knowing that you made a decision with the best information at the time and that decision landed your district in a better position than where you were yesterday. So yes, we do celebrate those successes and in this specific case, it had everything to do with the communication that we put out but it had to be humble at the same time. As far as the group goes, reflection is a time to celebrate as well. We know when we dodged a bullet and we're not afraid to pat each other on the back for it.

He indicates in his response that celebrations and parties would not take place but there is acknowledgement amongst his key group of stakeholders that they did the best with the information they had.

Superintendent Thompson also discuss that there is no celebration other than behind the scenes and ongoing appreciation for the work of those who are leading the culture shift. He states,

There is no celebration. What exists is a deliberate quiet word between myself and individually with each of the core group members when I'm back in the building or the board president and just to people who you knew were having a particularly hard time. Statements like, ‘how are you doing? Do you need anything?’ The celebration is that your individual relationships and admin member’s relationship with their staff carried us. As Principal, you need to know that I know that. When you talk to those people and I stood with you, the trust I had with you carried us. Thank you. That's it. The parent? Likewise.

In response to question six, Will Arnett stated,

I don't think that we ever stopped along the way and declared that we were successful at a given point. I don't think we ever look at crisis response through that lens. For us, it really is a continuum. It’s a ‘here's where we are today, this is what we can communicate today, so let's communicate today’ approach to the
situation. This is what we think is going to happen in another week to two weeks. Let's cross that bridge when we get to it. What I would characterize as a success is where we were transparent to the expectation of our community. If we were and people said thank you for acknowledging it, then we would say, ‘Okay, that's a success.’ Even in the midst of living up to our values that our community holds, then that’s a success. In a situation like this, which dragged on over several months, there were several points where we had a responsibility to uphold that value of transparency. Every time we felt like we could do that and say we were proactive in doing so we wouldn't pat ourselves on the back but we would take some gratification in knowing that that we held up to the community expectation in that moment. I think the other success that we wouldn't have necessarily celebrated but acknowledged was that we became much better at internal controls, when it came to handling money, and financial transactions that involved petty cash.

Will’s response is in line with both superintendent responses. There were points along the way where a private victory was acknowledged behind the scenes. This occurred either internally or through subtle acknowledgment by peers within the stakeholder group.

Shirley Long also noted that if a celebration were to take place it was an internal victory for doing the right thing or private acknowledgement and a sense of team camaraderie for moving forward through the culture shift. She stated,

I think there were little points in which I felt a tiny victory. Reflection along the way forced me to realize that there were times when I was glad that we had done something this way or that way because it made the step after it easier and clearer. In the bigger picture, as a team we would often breathe a sigh and acknowledge each other for the work done this far. The work had to be thorough and even though our individual roles were managed individually, we were also there to provide support for the other roles as well. There were a number of times when we leaned on each other for morale support and it was never really a celebration but it certainly was a moment to acknowledge what had been accomplished.

In the Polk School District, Dan Devitt stated that

Dr. Thompson and I wanted to make sure that we were able to congratulate the teachers for how they handled key pieces of their involvement with the students. For example, we didn't get a single call from a parent complaining that the daily routines of the students were interrupted. We acknowledged that and praise was given to the staff for handling it the best they could. We would tell them ‘outstanding job, way to go.’ By Thursday of the following week, things had
settled down. We applauded the leadership efforts to keep things as normal as possible. Dr. Thompson and the Polk Central admin team also debriefed well down the road and talked about suggestions for improvement. No one wants these things to happen but the reality is that we’re not immune from it either. I mean, we put supports in place for kids who needed it and tried to return the rest of the environment back to what it should be.

Mr. Devitt acknowledges that short-term wins did take place and that he and the superintendent made it a point to congratulate stakeholders within the educational system for their efforts.

Cliff Epstein responded to question six with the following statement.

The only one that I can think of specifically that I would consider a success is just continuing with each day and making it an academic day. Instead of ‘hey, its gossip day in the building,’ where nothing is going on curricular wise and it just turns into, ‘hey, did you hear about this.’ I think once you got past that each day, and we got back into the curricular zone. I remember me personally thinking; well we got past that part of it. You know, half of the battle is getting the kids focused back on why they are in school.

Mr. Epstein’s response indicates acknowledgement that certain hurdles were cleared in the culture shift and that can be interpreted as short-term wins.

Lori Callahan also noted that there were private victories when aspects of the culture shift were completed. She states,

I think our administrative team as a whole, we have division chairs, I think Dan, I think all of in our own areas around the building were able to say when we felt the situations were over and some time had passed ‘we're stronger because of it.’ I think because not only, I used the example of how close I am to my department, I think that exists all over the building. I think as a whole we have an incredibly strong resilient group of people, in light of where we've been.

According to Pete Mitchell, he also noted that during the culture shift there were hurdles to clear and that along the way they had been successfully cleared. This is interpreted as generating short-term wins. He stated,
The sheer logistics of the first couple of days was a huge hurdle to clear. And we were able to measure it because reporters and TV trucks stopped showing up. The reporters knew that whatever was going to happen would be provided to them via me in an organized and concise manner. There’s nothing more to do here.

Although Brian Greene felt that the culture shift wasn’t broken down into components that can be defined by short-term wins, he goes on to state,

Yeah, I would say it was more of constant pushing forward; just grinding through it and celebrating the successes in the department. We started to create our own feel good moments in the department to give us things that we could look too and smile so we could get past the negativity.

Celebrating the successes in the department and creating feel good moments along the culture shift process can be interpreted as generating short-term wins.

Upon examination of the responses provided to question six, there exists continuity amongst the theme. Understanding that the nature of the scandalous critical incident inhibits the ability to throw a party to celebrate the short-term wins is recognized by all participants interviewed. However, it is clear in the responses provided that participants both understood and personally valued the acknowledgements, private victories, and increased camaraderie. Thus, the answer to the research question regarding whether or not this component of Kotter’s (1996) eight steps for change was accomplished is yes.

**Theme 7 – Consolidating gains and producing more change (Step 7).** This is a strategy where members of the organization can begin to relax and confuse celebrating short-term wins with successful completion of the change. The sense of urgency can wane if celebrations are interpreted as mission accomplished or goal achieved. According to Kotter (1996), “Whenever you let up before the job is done, critical momentum can be lost and regression may follow” (p. 133). It is also tempting to begin taking on additional
changes. Kotter encouraged organizations to carefully consider the necessity of adding additional initiatives as they may exhaust members.

Further, Herold and Fedor (2008) noted that adding additional changes result in lower performance and more time to implement change because members feel they are constantly playing catch up. Herold and Fedor stated, “People have a finite capacity to adapt to change, it is up to change leaders how they best utilize this capacity” (p. 108).

Within the theme of consolidating gains and producing more change, the seventh question of the interview protocols asked participants if the focus for the culture shift of the educational system waivered? Can you provide details or examples regarding why you feel this way? The following horizontalization of the data within this theme was provided by those who participated in the interviews based on question seven of the interview protocols and specifically addressed whether or not short-term wins were generated and then celebrated.

In response to the seventh question, Will Arnett states,

There was resolve internally that there was only so much more that we could add to the story that we hadn't already told. At a point we had to say that the chapter has ended and the book had ended. Moving on was acknowledging that we had improved out internal controls and we had learned from this episode and we had felt we were going to be better. There was an immediate need to hire someone to replace the individual. That allowed us to move on from the situation. We have a new person in that seat and we want to do everything we can to support that person. We have a new future to look forward to with the person who is in the role.

His response indicates that the culture shift has taken hold and initial actions to deal with the erosion of trust were becoming solidified.

Shirley Long stated,
Until we had concrete evidence we didn’t know where we needed to go but we knew we wanted to thoroughly investigate this and come to resolution. Once there wasn’t any question that money had disappeared, we knew exactly what the end game was and we were on the right path to get there.

Shirley’s response has no indication of wavering and indicates a desire to build on the gains collected to reach her personal vision for the system.

Within the Polk School District, Dan Devitt’s response describes the gains earned at the classroom level. He stated,

Looking at this from a classroom teacher aspect, they’re not trained to deal with the level of emotion some students were showing. So we had to make people available. So teachers really never had to talk about it because we provided the supports for them. Teachers can teach and not deal with turmoil. They were able to do their job. Counselors and social workers felt like we respected their craft because this is what they are trained to do and we entrusted them to do it. They felt validated. Dr. Thompson made sure other schools in the district were on high alert that their services may be needed and was constantly gauging us to determine if they needed to be sent. Through the communication that went out, the support we had in place for students and staff and being transparent, I can say that we identified how we wanted this resolved and worked pretty hard to get there.

He describes where the system had found small successes and the push forward to reach his vision for a return to normalcy.

In Cliff Epstein’s response, he described the disruptions to the system when upcoming court dates would cause emotion to resurface and how the successes experienced thus far strengthened their resolve to get through each of these situations.

The only time that it has ever really come up is when the next situation happened and a lot of us said ‘here we go again. Well we got through that first one, will we get through this one.’ That kind of thing and you still go through those same protocols that we applied in this situation.

Pete Mitchell describes the value of the created protocols that kept the culture shift focused and allowed for successful completions of steps along the way. He stated,
Those protocols that Dr. Thompson created and put into place kept us focused and on path. And Dan Devitt was a tough nut. You knew that when he talked, he was the boss. I give him credit for keeping staff on message and keeping a lid on things. Now there are some things you just can’t control, but I don't recall anyone that was quoted that should not have been quoted. Dan was adamant about ensuring that all people respect the protocols.

Polk School District participant, Brian Greene, made the following statement.

No I don't think so, I really don't. It was very unexpected for everybody from the teacher level to the superintendent. It was really a ‘hey, what are we going to do, let's put together a plan.’ I don't think there was any point in which anyone was ready to throw in the towel.

His response indicates that there was resolve to stick with the process and keep the culture shift moving forward.

Superintendent Loomis stated that

the last thing any organization wants is a chief executive who is bi-polar. Everyone wants somebody who is consistent. They all watch you at the beginning. It's the first couple of crises that come up which set the stage for how they will perceive you for much of your time after those events. Crisis is something that establishes you quite well because people want to come together and see how your metal is being tested in that situation. To your question, establishing consistency is important so that the community recognizes that if you make a mistake that you are willing to admit it. Every time you do something right, you are building collateral for when you do something wrong. If you start screwing up right from the beginning you're doomed.

Dr. Thompson, of the Polk School District, stated,

I think there is a natural impatience that you have to resist. Impatience is going to land you in a bad spot. You have to let it run its course.

His response indicates a commitment to the culture shift.

Upon examination of the responses provided to question seven stakeholders demonstrate a commitment to the culture shift and built upon prior successes to ensure the culture shift took place. The rebuilding of eroded trust that resulted from the scandalous critical incident in each educational system remained the priority. The answer
to the research question is yes, the consolidation of gains and production of more change was accomplished within this theme (Kotter, 1996).

**Theme 8 – Anchoring new approaches in the culture (Step 8).** This is a strategy where members of the organization can begin to relax and confuse celebrating short-term wins with successful completion of the change. The sense of urgency can wane if celebrations are interpreted as mission accomplished or goal achieved. According to Kotter (1996), “Whenever you let up before the job is done, critical momentum can be lost and regression may follow” (p. 133). It is also tempting to begin taking on additional changes. Kotter encouraged organizations to carefully consider the necessity of adding additional initiatives as they may exhaust members.

Further, Herold and Fedor (2008) noted that adding additional changes result in lower performance and more time to implement change because members feel they are constantly playing catch up. Herold and Fedor stated, “People have a finite capacity to adapt to change, it is up to change leaders how they best utilize this capacity” (p. 108).

Within the theme of anchoring new approaches in the culture, the eighth question of the interview protocols asked participants if the educational system achieved the vision that was created for the culture shift? Can you provide details or examples regarding why you feel this way? The following horizontalization of the data within this theme was provided by those who participated in the interviews based on question eight of the interview protocols and specifically addressed whether or not new approaches were anchored in the culture.

Superintendent Loomis provides an interesting response to question eight. He states,
It's not for me to determine that. First of all, in life it’s beautiful to have closure, put a bow on the package and seal it. It's my belief that in complex issues, that often the truth is never known and it doesn’t wrap-up that nicely for you. Right now I cannot tell you exactly how much money was missing and we'll never know exactly how much money was missing. We will not know whether this employee took the money or whether a relative of this employee took the money. What we can do in terms of closure is communicate to the community what we did along the way, what the authorities agree to, what the police agree to, and what policies and procedures we change to avoid this occurring in the future. But I don't think in a lot of situations there is beautiful closure. Is Elvis Dead? Who shot John F. Kennedy? For goodness sake, it was filmed. Is there closure on that? People will come at you and believe there is a conspiracy. You can't fight that. On your quest to be a transparent as possible it doesn’t mean everyone is going to believe you. In this case, what we could manage was the best outcome possible. I don't get to determine the seven cards I get dealt, I can only play them the best I can play them. And believe me, sometimes those cards are lousy.

In his response he lays out that

What we can do in terms of closure is communicate to the community what we did along the way, what the authorities agree to, what the police agree to, and what policies and procedures we change to avoid this occurring in the future.

His educational system successfully navigated the culture shift and anchored new policies and procedures for the handling of money that are successfully in use today.

According to Superintendent Thompson,

Are we sitting better today than when the situation occurred? Sure. Does that mean that I am confident this could never happen again; absolutely not. We have all the right protocols in place to make sure we hire quality people who care for kids. Those protocols were used to hire this person. However, it didn’t guarantee me that this wouldn’t happen. I’m comfortable knowing we have a team that can respond and address these situations as they arise and that our goal is to be as forthright and supportive as possible, while always looking inward to see if this was our fault. With the right people in place we went out of our way to make sure our vision of restoring the faith in our system is restored and justice was served. If you analyze it from that angle, then I do believe that the vision was achieved.

The Polk School District successfully navigated the culture shift and also included a number of new administrative procedures and compliance trainings that continue to serve the district well which indicates that new approaches are now anchored in the culture.
Will Arnett points out that

the best way to answer that question is to point to other similar incidents that we have had before and after and the template, the game plan is almost identical. The circumstances are different every time, but when the model remains the same, that says to us that we have found a script that works. We know how we need to approach situations like this. We are going to follow the same game plan time and time again, realizing the circumstances are going to be different but taking the transparent approach and be as forthright as we can in our decision making.

Will’s response indicates that the Buchanan School District’s approach to scandalous critical incidents is anchored in the culture.

Another member of the Buchanan School District, Scott Everham, reported,

The school district was put into a good position when she did resign, because she was no longer part of the district. It's a police problems and a state's attorney problem. We don't get to tell a state's attorney how to do their job. If they feel it's a prosecutable case, we support them, if they don't feel it's prosecutable, there's nothing we can do about it. One little thing that probably threw us after we made the state's attorney aware was that making restitution was an important thing to the community. We didn't want an uproar that they didn't try to recoup the money. To try to temper it that was the offer they gave her. The amount of money that we could prove was missing due to the poor accounting and the charges were dropped. The school district could then turn to the community and say we're not out any money and she is no longer an employee here. It's not the district's job to investigate a criminal matter.

Scott’s response indicates that his vision for the educational system was attained but it doesn’t indicate that the any new approaches are anchored in the culture of the system.

Dan Devitt feels that new approaches are anchored in the culture. He stated,

I truly believe it has. As you know we had a few situations after this that were close to what this situation was and as a Polk Central team, we feel like we are stronger for it. Dr. Thompson and I talked and reflected often. This was as much about a peer support network as it was to determine the best course of action. It’s lonely the higher up you go in the organization and he served as my support and sounding board for a lot of decisions. His greatest impact on the admin team was to be there to help define what our goals needed to be to return to normalcy and he reeled us in and asked for better clarity when our ideas were a bit unfocused.
Again, the Polk School District successfully navigated the culture shift and also included a number of new administrative procedures and compliance trainings that continue to serve the district well which indicates that new approaches are now anchored in the culture.

Cliff Epstein responded,

I would say yes. Because I think the staff has learned from it, they've educated themselves on it, and we're still doing very well as a building. We didn't let it define us. Also, the teacher who caused the problem is no longer with us. In fact, she never returned to the building, except to clean out her desk after hours and supervised. I'm pretty sure it was Mike who escorted her through so that no one here had to deal with the fact that she was considered a friend by so many of us.

Cliff was instrumental in administering the new procedures and compliance trainings in Polk School District.

Lori Callahan stated,

Oh absolutely. The district took over specific staff development as a requirement. We began the sexual harassment, ethical boundaries, and borders and GCN trainings each year. The district ramped up the trainings we were required to do. That was the lasting effect to that.

She also went on to report,

I think that the tangible things that were obvious is that is wasn't being discussed anymore, students weren't coming down anymore, and staff wasn't coming down anymore. These are the obvious things that we noticed. I truly believe that the recent experience this building has gone through has made us stronger, closer, and more accountable to each other. It's really a feeling that I have about all of this.

Lori’s response indicates that the new approaches at Polk School District have become anchored in the culture.

Polk School District Member Pete Mitchell states,

With a little bit of time and distance between the incident and the end of the school year there was a palpable moment when things seemed to get back to normal. Within a few days I was not being pulled over as much, called as much,
speaking to parents as much...things had ebbed. But I knew the building still had to deal with the emotional fallout with staff and students and that’s a whole other area that I can appreciate but I didn’t have a lot of involvement with that. So sure, there’s a time when I think we can see pieces and roles of it wrapped up but it really depended on what your role was in the situation. I may have not had to field any questions from reports but the student services department may not be done dealing with students grieving and that emphasizes to me the empowerment we all have to understand the protocols; stick to the protocols but carry out your duties as you need to.

Pete’s response is interesting because it notes that finality to the culture shift may be different to stakeholders depending on your role. Although in his response he acknowledges that the protocols created to move the district past the scandalous critical incident worked and will become a part of the system.

Upon examination of the responses provided to question eight stakeholders are able to articulate details in their responses which indicate that new approaches learned and applied through this culture shift were successful and are anchored in the culture. The answer to the research question is yes, the anchoring of new approaches in the culture was accomplished within this theme (Kotter, 1996).

**Further analysis.** An extensive analysis of the qualitative data displayed in this section has determined that themes one, six, seven and eight were accomplished and themes two, three, four, and five were not accomplished.

The failure for the successful accomplishment of theme two lies in the realization that neither educational system went through a formal process to adhere to Kotter’s eight steps for change. Thus, the creation of a core stakeholder group was not a step that was expected to be completed by those leading the culture shift. It can be verified via the collected interview responses that within each educational system a number of the participants felt that there was a creation of a core stakeholder group and that the
participant may or may not have been a part of the core stakeholder group. However, interview responses reveal that the groups identified in each interview response were comprised of different members, if not an entirely different group altogether. The very title of this step, core stakeholder group, was never created in either educational system because quite simply, there was no intent to formally create the stakeholder group. Yet, the belief that there should be a core stakeholder group who would be making decision for the culture shift was important and that is why is it was informally created in different formats within both systems.

Themes three, four, and five are deeply linked and the failure to accomplish themes four and five can be directly correlated to the failure of theme three. Theme three requires the core group of stakeholders to develop a vision and strategy for the system. In this case, the interview responses indicate that nearly all participants had a vision for how the system would move beyond the scandalous critical incident, yet there was no creation of a collective vision for either educational system. With no collective vision for the system, the ability to communicate the vision for the system in theme four cannot take place and the interview responses support that notion. Moreover, the ability to empower broad-based action to implement the vision in theme five will also falter because there was never a vision created for the system. Again, data collected in the interview responses support the lack of a collective vision for each system (Kotter, 1996).

Theme one was marked as accomplished because the very nature of a scandalous critical incident causes a heightened sense of purpose in system leadership, of which all interview participants were members. Thus, all participants stated that a sense of urgency was established. This was not established by engaging in the change process. The sense
of urgency was established because it was forced upon them by the scandal itself. Without the scandal, there would be no need to repair the systems culture at that particular point in time. Moreover, as there was no formal acknowledgement by either system that they would be engaging in Kotter’s (1996) change process, the assertion that step one was successfully accomplished is based on other unidentified factors.

Themes six, seven and eight were successful because these themes retreat from a need for a collective vision for the system and can be accomplished based on the system’s desire to recover from the scandalous critical incident and not as a result of formal adherence to Kotter’s (1996) eight steps for change. The culture shift that needed to take place to repair the culture is evident based on interview responses. Generating short term wins, consolidating gains, and anchoring new approaches are not unique to Kotter’s eight steps for change. Moreover, it is known that neither educational system engaged in formal adherence to Kotter’s eight steps for change, but based on interview responses, it is known that both systems felt the need to repair the damaged trust and move past the scandalous critical incident that occurred. Interview responses support the fact that short-term wins were attained, the system built on those successes at various points in the culture shift, and new approaches to avoid a repeat of the scandalous critical incidents are now anchored in the culture of the system. However, these successes are not a result of Kotter’s eight steps for change. They are based on other unidentified factors (Kotter, 1996).

**Summary of research question 2.** The following will serve as a summary of process for the second research question; according to Kotter’s eight steps for change, what steps did superintendents accomplish to lead an educational system through a
culture shift following the occurrence of a scandalous critical incident? Data collected through semi-structured interviews was sorted and coded based on Kotter’s eight steps for change. Next, the coded responses were then sorted into five separate themes based on Sergiovanni’s five sources of authority. The thematic analysis was driven by the deductive approach. Deductive thematic analysis tends to be less descriptive overall because analysis is limited to the preconceived frames; in this case Sergiovanni’s five sources of authority and Kotter’s eight steps for change (Moustakas, 1994).

**Research Question 3**

According to Sergiovanni’s five sources of authority, what sources of authority did superintendents use to lead an educational system through a culture shift following the occurrence of a scandalous critical incident during each of Kotter’s eight steps for change?

The answer to this question will be displayed via five separate themes based on Sergiovanni’s five sources of authority. Deductive thematic analysis tends to be less descriptive overall because analysis is limited to the preconceived frames; in this case Sergiovanni’s five sources of authority and Kotter’s eight steps for change (Moustakas, 1994). Within each source, reviewed literature will be presented, in addition to the horizontalization of data secured through both participant and superintendent interview responses. It is important to note that the analysis of the data is based entirely on participants responses collected during semi-structured interviews. Many of the responses to the interview questions were followed with additional probes to deeply investigate the phenomena. This resulted in 526 coded references placed into the five themes and then sorted into five sub-themes.
The foundation for Sergiovanni’s Five Sources of Authority. Sergiovanni (1992) poses the following questions, “Which style (of leadership) is better - warm or cold, autocratic or democratic, task or relationship, directive or participatory, initiating structure or consideration, production emphasis or personal emphasis? When is it best to tell, sell, participate and delegate” (p. 2)? Considering the complexity of leadership, there is no cookie cutter approach to managing an organization that is befitting for all schools. School administrators must master the art of leading in a manner in which subordinates are motivated to follow.

Sergiovanni and Starratt (2007) describe authority as “the power that is used to influence how teachers think and what teachers do about teaching and learning” (p. 25). They believe that the success or failure of an administrator is contingent on how well the administrator strategically matches the appropriate source of authority with the circumstances of which she is dealing. They maintain that authority derived from leadership can be classified into five categories or what they consider sources: Bureaucratic Authority, Psychological Authority, Technical-Rational Authority, Professional Authority, and Moral Authority. These authorities are distinguished by their individualized characteristics.

Theme 1 – Bureaucratic source of authority. Based on the work of Sergiovanni (1992), within the bureaucratic source of authority, stakeholders who are integral to the system are hierarchically placed and defined. On a macro level, a major divide exists between those that lead the system and those who are considered subordinates within the system. Within this divide, supervisors are inherently trustworthy. Subordinates, on the other hand, are not considered trustworthy. This is because the goals and interests of the
subordinates and the supervisors are not the same. Thus, supervisors must be routinely mindful of the subordinates and the efforts put forth within the system. Moreover, the bureaucratic source of authority defines levels of expertise through the established hierarchy. Sergiovanni (1992) states that supervisors within the bureaucratic source of authority know more than subordinates, thus they are determined to be the experts.

External accountability is the basis for motivation within this source of authority, thus expectations are made clear to the subordinates and routine inspections for compliance toward the expectations are completed. Through the compliance inspections, subordinates are expected to reach and maintain established standards for performance. If it becomes apparent, through the expertise of the supervisor, that the subordinates require training to either meet the defined expectations or to become proficient within a newly created set of expectations, then it is the role of the supervisor to inservice the subordinates to increase their base of knowledge. The result of successfully implementing this source of authority is that the performance and work focus of the subordinates becomes narrowed through execution of clearly defined work scripts (Sergiovanni, 1992).

Included in Table 20 are the 132 coded references for the bureaucratic source of authority, the coded material is available for review in Appendix G through Appendix N. The number of occurrences was placed in the table next to their corresponding step for change. Note that 39 coded references for the bureaucratic source of authority were coded into step one, establishing a sense of urgency. This accounts for 30% of the references coded within this source of authority. The next largest category contains 29 references and those references were coded into step two, creating a guiding coalition. Step five, empowering broad-based action, contains the lowest number of references. Across all
five sources of authority, 28% of the 526 coded references were coded to the bureaucratic source of authority.

Table 20

*Breakdown of Coded References for Bureaucratic Authority and Kotter’s Eight Steps for Change*

<table>
<thead>
<tr>
<th>Step</th>
<th>Number of Coded References – Bureaucratic Authority</th>
<th>Percentage of Coded References – Bureaucratic Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1</td>
<td>39</td>
<td>30%</td>
</tr>
<tr>
<td>Step 2</td>
<td>27</td>
<td>20%</td>
</tr>
<tr>
<td>Step 3</td>
<td>29</td>
<td>22%</td>
</tr>
<tr>
<td>Step 4</td>
<td>11</td>
<td>8%</td>
</tr>
<tr>
<td>Step 5</td>
<td>1</td>
<td>1%</td>
</tr>
<tr>
<td>Step 6</td>
<td>10</td>
<td>8%</td>
</tr>
<tr>
<td>Step 7</td>
<td>7</td>
<td>5%</td>
</tr>
<tr>
<td>Step 8</td>
<td>8</td>
<td>6%</td>
</tr>
<tr>
<td>Total</td>
<td>132</td>
<td>100%</td>
</tr>
</tbody>
</table>

According to Kotter (2006), it is difficult to inspire members to change unless there is appropriate stress to make change more desirable than maintaining the status quo. According to Lewin, leaders need to unfreeze members of the organization in order to get them to change (Harvey & Broyles, 2010). Creating a sense of urgency is a critical component to motivating change (Kotter, 2006). The assertion that leaders need to unfreeze explains why 30% of the coded references with the bureaucratic source of authority are assigned to step one. Conversely only 1% of the coded references with the bureaucratic source of authority were assigned to Kotter’s fifth step, empowering broad-based action. Kotter (1996) says that leaders have to remove barriers to empower the teams within the organization to facilitate change. Not removing barriers in a timely
manner can lead to frustration and undermine the desired change. A significant barrier to change could be what Sergiovanni (1992) describes as supervisors within the bureaucratic source of authority knowing more than subordinates, thus they are determined to be the experts.

**Theme 2 – Psychological source of authority.** As a result of the focus on human relations, the unconnected goals and interests of both the stakeholders and the leadership can be bartered so that each side gets what it wants by means of a reward. Specifically for system stakeholders, if the needs that stakeholders groups have to operate within the system are met, then the work will be done as required. Supervisors accomplish this by establishing and maintaining congenial relationships with stakeholders that produce a harmonious interpersonal climate. Stakeholders in turn feel content, recognizing that the environment is conducive to their needs, and are more apt to collaborate. “However, supervisors must be experts in both the ability to read stakeholder needs and in the treatment of people in order to successfully barter for compliance and increased performance” (Sergiovanni, 1992, p. 36).

To successfully implement this source of authority, leaders will develop a system climate that is characterized by high congeniality amongst stakeholders and then between the various stakeholder groups and the supervisors. Supervisors must make clear the expectations for the success of the system. In turn, rewards, both intrinsic and extrinsic, are provided. Within the system, “what gets rewarded gets done” (Sergiovanni, 1992, p. 37). When the psychological source of authority is properly administered, stakeholders positively respond when their needs are met through both intrinsic and extrinsic rewards
but not otherwise. Consequently, their involvement is calculated to meet conditions for the reward and thus, performance is narrowed (Sergiovanni, 1992).

Included in Table 21 are the 136 coded references for the psychological source of authority, the coded material is available for review in Appendix G through Appendix N. The number of occurrences was placed in the table next to their corresponding step for change. Note that 32 coded references for the psychological source of authority were coded into step three, developing a vision and strategy. This accounts for 24% of the references coded within this source of authority. The next largest category contains 29 references and those references were coded into step four, communicating the change vision. Three categories, step two, seven, and eight, contain the lowest number of references for this source of authority at eight. Across all five sources of authority, 29% of the 526 coded references were coded to the psychological source of authority.

Table 21

Breakdown of Coded References for Psychological Authority and Kotter’s Eight Steps for Change

<table>
<thead>
<tr>
<th></th>
<th>Number of Coded References – Psychological Authority</th>
<th>Percentage of Coded References – Psychological Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1</td>
<td>10</td>
<td>7%</td>
</tr>
<tr>
<td>Step 2</td>
<td>8</td>
<td>6%</td>
</tr>
<tr>
<td>Step 3</td>
<td>32</td>
<td>24%</td>
</tr>
<tr>
<td>Step 4</td>
<td>29</td>
<td>21%</td>
</tr>
<tr>
<td>Step 5</td>
<td>26</td>
<td>19%</td>
</tr>
<tr>
<td>Step 6</td>
<td>15</td>
<td>11%</td>
</tr>
<tr>
<td>Step 7</td>
<td>8</td>
<td>6%</td>
</tr>
<tr>
<td>Step 8</td>
<td>8</td>
<td>6%</td>
</tr>
<tr>
<td>Total</td>
<td>136</td>
<td>100%</td>
</tr>
</tbody>
</table>
Based on a review of the data, 24% of the coded references within the psychological source of authority are assigned to step three, developing a vision and strategy. If people don't have a personal vision, all they can do is sign up for someone else's. The result is compliance, never commitment. On the other hand, people with a strong sense of personal direction can join together to create a powerful synergy toward what I/we truly want (Senge, 1990). To successfully implement this source of authority to develop a vision and strategy, leaders will develop a system climate that is characterized by high congeniality amongst stakeholders and then between the various stakeholder groups and the supervisors. Supervisors must make clear the expectations for the success of the system. In turn, rewards, both intrinsic and extrinsic, are provided. Within the system, “what gets rewarded gets done” (Sergiovanni, 1992, p. 37).

**Theme 3 – Technical-rational source of authority.** The technical-rational source of authority is founded in a belief that supervision and teaching are applied sciences. However, the base of knowledge and research that feeds the aforementioned sciences is privileged. Possessing that base of knowledge is considered superordinate to the actual application of the knowledge. Stakeholder groups, specifically teachers, are the skilled technicians who apply the knowledge and strive to possess it. Conversely, values, preferences, and beliefs created through application of the technical-rational source of authority are not appreciated, but facts and objective evidence are prized (Sergiovanni, 1992).

When the technical-rational source of authority is applied, leaders will use research to identify best practice. Then they standardize the work of teaching to reflect the best practice and inservice teachers accordingly. With proper monitoring, teachers
respond as technicians within this source of authority, executing predetermined steps that are rooted in both research and best practice. However, performance is again narrowed (Sergiovanni, 1992).

Included in Table 22 are the 78 coded references for the technical-rational source of authority, the coded material is available for review in Appendix G through Appendix N. The number of occurrences was placed in the table next to their corresponding step for change. Note that 16 coded references for the technical-rational source of authority were coded into step one, establishing a sense of urgency and step two, creating a guiding coalition. This accounts for a total of 32% of the references coded within both sources of authority. The next largest category contains 17 references and those references were coded into step seven, consolidating the gains and producing more change. Step eight, anchoring new approaches in the culture, contains the lowest number of references. Across all five sources of authority, 16% of the 526 coded references were coded to the technical-rational source of authority.

Based on a review of the data, 21% of the coded references within the technical-rational source of authority are assigned to step three, developing a vision and strategy and step 4, communicating the vision. Kotter (2006) noted that the leader's ability to communicate the vision succinctly and effectively is essential. In John Kotter’s book “Leading change: Why transformation efforts fail,” posited this “rule of thumb: if you can’t communicate the vision to someone in five minutes or less and get a reaction that signifies both understanding and interest, you are not yet done with this phase of the transformation process” (p. 106). To successfully implement this source of authority to develop a vision and strategy and communicate that vision is founded in a belief that
supervision and teaching are applied sciences. However, the base of knowledge and research that feeds the aforementioned sciences is privileged. Possessing that base of knowledge is considered superordinate to the actual application of the knowledge.

Stakeholder groups are the skilled technicians who apply the knowledge and strive to possess it.

Table 22

Breakdown of Coded References for Technical-Rational Authority and Kotter’s Eight Steps for Change

<table>
<thead>
<tr>
<th>Number of Coded References – Technical-Rational Authority</th>
<th>Percentage of Coded References – Technical-Rational Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1</td>
<td>12</td>
</tr>
<tr>
<td>Step 2</td>
<td>4</td>
</tr>
<tr>
<td>Step 3</td>
<td>16</td>
</tr>
<tr>
<td>Step 4</td>
<td>16</td>
</tr>
<tr>
<td>Step 5</td>
<td>5</td>
</tr>
<tr>
<td>Step 6</td>
<td>10</td>
</tr>
<tr>
<td>Step 7</td>
<td>13</td>
</tr>
<tr>
<td>Step 8</td>
<td>2</td>
</tr>
<tr>
<td>Total</td>
<td>78</td>
</tr>
</tbody>
</table>

Theme 4 – Professional source of authority. Within professional authority is the recognition that situations of professional practice are idiosyncratic. In essence, behaviors, thoughts, or feelings created as a result of immersion within the system are unique to the individual. Specifically, scientific and professional knowledge are considered different within this source of authority. This occurs because professional knowledge is the unique and individualized application of scientific knowledge, which is only meant to inform, not prescribe practice (Sergiovanni, 1992).
Professional practice becomes collective for stakeholder groups that subscribe to the professional source of authority as their primary source. They require little monitoring and their performance becomes expansive as teachers are offered discretion to determine what they want and need. Moreover, teachers begin to hold one another accountable for meeting professional standards. System leaders need only make assistance, support, and professional development opportunities available and the stakeholder groups will make appropriate usage of the resources (Sergiovanni, 1992).

Included in Table 23 are the 129 coded references for the professional source of authority, the coded material is available for review in Appendix G through Appendix N. The number of occurrences was placed in the table next to their corresponding step for change. Note that 29 coded references for the professional source of authority were coded into step two, creating a guiding coalition. This accounts for a total of 22% of the references coded within this source of authority. The next largest category contains 23 references and those references were coded into step one, establishing a sense of urgency. Step four, communicating the change vision, contains the lowest number of references. Across all five sources of authority, 27% of the 526 coded references were coded to the professional source of authority.

Based on a review of the data, 22% of the coded references within the professional source of authority are assigned to step two, creating a guiding coalition. In successful change, organizations develop powerful guiding coalitions (Kotter, 2006). When creating movement, found in the second stage of Lewin's model, coalitions are instrumental in helping members let go of old patterns. A strong guiding coalition represents members of the team. They are diverse in position, expertise, reputation, and
relationships (Kotter 1996, 2006). To successfully implement this source of authority to create a guiding coalition, it must be understood that professionals require little monitoring and their performance becomes expansive as stakeholders are offered discretion to determine what they want and need. Moreover, stakeholders begin to hold one another accountable for meeting professional standards. System leaders need only make assistance, support, and professional development opportunities available and the stakeholder groups will make appropriate usage of the resources (Sergiovanni, 1992).

Table 23

*Breakdown of Coded References for Professional Authority and Kotter’s Eight Steps for Change*

| Theme 5 – Moral source of authority. Collective duty and obligation towards a system widely shared values, ideas, and beliefs define moral authority. Schools are professional learning communities and within the professional community what is considered right and good is as important as what works and what is effective. Members of the community are motivated as much by emotions and beliefs as by self-interest. For | Paragraph content |
example, collegiality is considered a professional virtue with this source of authority (Sergiovanni, 1992).

Stakeholder groups strive to make explicit the values and beliefs that will define the school as a professional community and then work to translate them into informal norms that govern the behavior of the group. When leadership within the system is rooted in moral authority, stakeholder groups can be expected to respond to shared commitments and felt interdependence. Their professional practice as a group becomes collective, and their performance is expansive and sustained (Sergiovanni, 1992).

Included in Table 24 are the 51 coded references for the moral source of authority, the coded material is available for review in Appendix G through Appendix N. The number of occurrences was placed in the table next to their corresponding step for change. Note that 14 coded references for the moral source of authority were coded into step four, communicating the change vision. This accounts for a total of 27% of the references coded within this source of authority. The next largest category contains 10 references and those references were coded into step three, developing a vision and strategy. Two categories, steps five and six, contain the lowest number of references for this source of authority at eight. Across all five sources of authority, 10% of the 526 coded references were coded to the moral source of authority.

Based on a review of the data, 27% of the coded references within the moral source of authority are assigned to step four, communicating the change vision. Communicating vision effectively cannot occur when the efforts to share information are represented by single presentations, occasional meetings, or information in newsletters. A leader is responsible for ensuring that affected stakeholders give the relevant information
to substantiate the need for change. Communicating the logic and need for change in advance can reduce the resistance to change (Kotter, 2006; Kotter & Schlesinger, 2008). To successfully implement this source of authority to communicate the change vision, it must be understood that stakeholder groups strive to make explicit the values and beliefs that will define the school as a professional community and then work to translate them into informal norms that govern the behavior of the group (Sergiovanni, 1992).

Table 24

*Breakdown of Coded References for Moral Authority and Kotter’s Eight Steps for Change*

<table>
<thead>
<tr>
<th>Number of Coded References – Moral Authority</th>
<th>Percentage of Coded References – Moral Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1</td>
<td>9</td>
</tr>
<tr>
<td>Step 2</td>
<td>6</td>
</tr>
<tr>
<td>Step 3</td>
<td>10</td>
</tr>
<tr>
<td>Step 4</td>
<td>14</td>
</tr>
<tr>
<td>Step 5</td>
<td>2</td>
</tr>
<tr>
<td>Step 6</td>
<td>2</td>
</tr>
<tr>
<td>Step 7</td>
<td>5</td>
</tr>
<tr>
<td>Step 8</td>
<td>3</td>
</tr>
<tr>
<td>Total</td>
<td>51</td>
</tr>
</tbody>
</table>

**Summary of research question 3.** The following will serve as a summary of process for the third research question; according to Sergiovanni’s five sources of authority, what sources of authority did superintendents use to lead an educational system through a culture shift following the occurrence of a scandalous critical incident during each of Kotter’s eight steps for change? Data collected through semi-structured interviews was first sorted and coded based on Kotter’s eight steps for change. Next, the
coded responses were then sorted into five separate themes based on Sergiovanni’s five sources of authority. The thematic analysis was driven by the deductive approach. Deductive thematic analysis tends to be less descriptive overall because analysis is limited to the preconceived frames; in this case Sergiovanni’s five sources of authority and Kotter’s eight steps for change (Moustakas, 1994).

The following is the total percentage of coded references within the five sources of authority.

- Bureaucratic 28%
- Psychological 29%
- Technical-Rational 16%
- Professional 27%
- Moral 10%

**Research Question 4**

What are the implications to educational leadership identifying the best practices for leading an educational system through a culture shift following the occurrence of a scandalous critical incident?

Superintendents must better understand that scandalous critical incidents have come to be an increasingly prominent feature of public life in modern societies; such as government, sports, large scale corporations with a public presence, and public education, to name only a few. This may be due to the development of mass media communication and social networking, which have rendered the lives of individuals who walk on the public stage more visible than they ever were in the past.
Although the effect of mass media communication and social networking has increased public awareness to scandalous critical incidents, they have been occurring in the public school system for as long as the concept of public education has been in place. Accordingly, the superintendent of the educational system has been responsible for handling the effect these situations have on the culture of the educational system and will continue to be responsible for the foreseeable future. What has changed is how an incident that may not have become as widely known in the past can instantaneously cripple an educational system.

First, the words and actions superintendents used to lead a culture shift following the occurrence of a scandalous critical incident, as described in the first research question, is an important reflective piece in addition to visualizing the generalizable themes. The identified themes, although only connected to the two educational systems studied, presented an organized snapshot of superintendent actions throughout the process.

- **Theme 1 - Trust.** The theme of trust is defined as a theme in which superintendent actions are observed by participants in the educational system. This includes, but is not limited to, creating valuable relationships with staff and stakeholders which allows others to act appropriately and morally without permission and reciprocates the same actions. Included below are the thirteen described superintendent actions that fall within the theme of trust.

- **Theme 2 - Problem Solver.** The theme of problem solver is defined as a theme in which superintendent actions are observed by participants in the educational system. This includes, but is not limited to, gathering information
to understand the root cause of a problem and acting competently to address the situation. Included below are the five described superintendent actions that fall within the theme of trust.

- **Theme 3 - Reflective.** The theme of reflective is defined as a theme in which superintendent actions are observed by participants in the educational system. This includes, but is not limited to, collecting information and filtering the information against prior experiences to potentially create action. Included below are the six described superintendent actions that fall within the theme of trust.

- **Theme 4 - Influencer.** The theme of influencer is defined as a theme in which superintendent actions are observed by participants in the educational system. This includes, but is not limited to, engaging stakeholders in open discourse, being collaborative, considering solutions, and strategically sharing information intellectual property. Included below are the six described superintendent actions that fall within the theme of trust.

- **Theme 5 - Achiever.** The theme of achiever is defined as a theme in which superintendent actions are observed by participants in the educational system. This includes, but is not limited to, physical or mental tasks that are completed by the superintendent, and also completing tasks that could be delegated to others. Included below are the nine described superintendent actions that fall within the theme of trust.

Next, superintendents must have a clear model for change that is understandable and applicable. This model should be used for change well before the need for change is
to lead a system-wide culture shift following the occurrence of a scandalous critical incident. Although both educational systems that participated in this study were able to navigate the waters, the data is clear that if they did accomplish any one of Kotter’s eight steps for change, it wasn’t because they had a clear plan to do so. The rate of accomplishment for this component of the research was only 50%.

Specific to Kotter’s eight steps for change, the need for a vision that is collectively created, communicated, and owned by all stakeholders is essential to four of the eight steps. Without this component the action of the system to lead a culture shift is hit or miss depending on the actions of the stakeholders involved. Based on the data specific to the second research question, not a single response from the ten participants to the question regarding the development of a vision was consistent. The fact that the system was able to successfully emerge from the scandal is due in large part to the individualized visions of a committed leaders within each of the systems. If any one of those personal visions was contrary to the visions of the others, there would be conflict. Moreover, the fact that a collective vision was not developed, led to not accomplishing the following two steps, communicating the shared vision and empowering broad-based action to carry out the vision. Although action was described by participants in their interview responses, the action was neither centralized nor focused. A collective vision would serve as a filter for decision-making; especially in light of empowering others to make broad-based action.

Finally, filtering decisions through a deep understanding of Sergiovanni’s sources of authority is advisable to the field of educational leadership. Each of Sergiovanni’s five sources of authority, reviewed at length in this study, outlines not only the characteristics
that make-up each source but also the implications of the particular source and how system stakeholders respond to the usage of the source. A personal accountability for leadership should include an understanding that one single leadership style in highly unlikely. Leaders often dabble in and out of all five sources authority. Understanding when a particular source of authority is more appropriate than another would be a valuable skill.

**Limitations of the Study**

While this study attempted to examine the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident, there were limitations to this work.

1. The study of two educational systems was limiting in scope. A larger sampling of school districts may have revealed more information regarding the actions that superintendents took.

2. Not all of the district administrators were interviewed. Eleven of the sixteen involved administrators agreed to participate. This left five voices (31%) unheard.

3. The principal of Buchanan School District did not participate. This person’s perspective may have yielded additional information.

4. The School Resource Officer from the Buchanan School District had limited responses because the scope of his involvement in the culture shift was narrowed due to his job description.
5. Due to the confidentiality of the topic, educational system leaders were reluctant to let stakeholders other than administrators participate in the research.

6. There may have been interview participants who were reluctant to answer questions openly and honestly due to the nature of the situation being discussed. Confidentiality was guaranteed, but there was the possibility that the administrators were defensive of the educational system.

7. With one researcher analyzing the interview responses that were collected, there was the chance, even though the research engaged in the process of epoch, that bias was introduced. Specifically, this researcher is a licensed superintendent who has received extensive training in change theory.

8. The educational systems involved were not formally using Kotter’s eight steps for change as they moved through their culture shift. Responses to interview questions were based on their application of change strategies and leadership skills as determined by the interview question itself.

9. Identifying educational districts to participate was difficult due to the nature of the topic. Both educational systems that agreed to participate were able to effectively recover from their scandalous critical incident. Including a district that did not recover may yield different results.

**Recommendations for Further Research**

While the purpose of this study was (1) determine the words and actions that superintendents use to lead an educational system through a culture shift following the occurrence of a scandalous critical incident; (2) determine what steps superintendents
accomplished to lead an educational system through a culture shift following the occurrence of a scandalous critical incident; (3) determine what sources of authority superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident during each of Kotter’s eight steps for change; and, (4) to make recommendations to educational leaders for best practices to lead an educational system through a culture shift following the occurrence of a scandalous critical incident, additional research may be called for in the following areas:

1. Although this research deeply investigated two forms of scandalous critical incidents; deception (embezzlement) and sexual transgressions, a third area was identified and discussed in this study; hazing. Continue this research by identifying an educational system which experience hazing as a scandalous critical incident.

2. Conduct a similar study which replaces Sergiovanni’s five sources of authority and instead include Bolman and Deal’s four frames of leadership as an instructional leadership lens.

3. Replicate this study but include stakeholders who are not district and building level administrators. Contemplate the involvement of teachers, parents, students, board members, and community members who do not have students in the school system.

4. Since this research was limited to a qualitative study, which included semi-structured interviews and intensive coding of data, consider creating a quantitative study which can include more stakeholders, more educational systems and include digital survey tools that can be taken anonymously.
5. Identify educational systems that are familiar with Kotter’s eight steps for change and conduct a case study analysis of them as they work through a change that doesn’t include a culture shift due to a scandalous critical incident.

6. Extend this research beyond the high school setting and consider replicating the study at the college or university level as the leadership there leads a culture shift after the occurrence of a scandalous critical incident.

**Conclusion**

It would be difficult to comprehend another situation that could immediately erode the culture of a school system like a scandal. We hear about them on the evening news and read about them on the internet. No educational system is ever truly prepared to deal with the negative effect it can have on the school district, and sadly, there is no guarantee that a scandalous critical incident can be avoided.

Scandals are never convenient and the amount of resources the system has to put forward to recover from the scandal is tremendous. Yet, with the right mindset, educational systems can prepare themselves to deal with the incident far better than they would believe. Understanding and embracing a change process and then implementing it with fidelity are the key to success.

When embroiled in a scandal, the system is merely trying to move from the position in which it has been placed to a better position. Technically, that is no different than bringing a new initiative to an educational system. The difference is the number of stakeholders who lose trust in the system because of the scandal. It is this erosion of trust that often pushes educational systems towards a reactionary mode, instead of accepting
that the scandal took place and creating a new mindset for how the system intends to address what took place, fix whatever error exists, and become better as a result of the scandal.

The best course of action is for the system to learn and embrace a formal change process before a scandal ever hits. In this case, Kotter’s eight steps for change is the tool used by organizations, educational systems included, across the world. Kotter asserts that if the system and its leaders incorporate eight specific steps, with fidelity, that the desired change can permanently take hold.

The major difference is whether or not the change is a want or a need. In most instances, the desire to change is because the system wants to evolve from point A to point B. In the event of the scandal, the change is a need. In today’s day and age, no educational system can afford to ride out a scandal. The need to be proactive and adjust accordingly is critical. A formal change process can quickly take a defensive and reactive position and switch it to an offensive and proactive stance.

Based on the findings of this study, it is highly recommended that if the system subscribes to Kotter’s eight steps for change that the system understands the need for collective ownership in the change. It was discovered that the system can proceed forward with a change even though the leaders of the system have no collective vision for what they want to become. In this study, the leaders moved forward to ensure the system is not only repaired but better for the future. However, they did so under their own pretense for what that system should look like. In both cases, the changes worked to the benefit of the system because all of the leaders interviewed had the best intentions. However, there is no guarantee that this will always be the case.
Furthermore, it is imperative that superintendents understand that their actions are being observed and assessed. System leaders need to begin to understand their own leadership style and Sergiovanni’s five sources of authority can help with that. The ability to reflect on the impact that a particular leadership style has on a given situation increases personal awareness for future opportunities to improve. Sergiovanni asserts that none of his sources of authority are any more powerful than the other. In fact, all serve a purpose at key points in time. However, knowledge is power and understanding that a particular source of authority will yield better results for a specific situation is the key.

Applying those sources of authority to a change process is exactly what this study was all about. As two educational systems went through a culture shift (change process) specific sources of authority were identified as being heavily used at each step of the change and rarely did each step have the same heavily weighted source of authority.
Introductory Protocol:
To facilitate our note-taking, I would like to digitally record our conversations today. Please sign the release form. For your information, only I will be privy to the digital recordings which will be eventually destroyed after they are transcribed, clarified, and confirmed by you. In addition, you must sign a form devised to meet human subject requirements. Essentially, this document states that: (1) all information will be held confidential, (2) your participation is voluntary and you may stop at any time if you feel uncomfortable.

I have planned this interview to last no longer than sixty minutes. During this time, I have several questions that I would like to cover. If time begins to run short, it may be necessary to interrupt you in order to push ahead and complete this line of questioning.

Introduction:
You have been selected to speak with me today because you have been identified as someone who has a great deal to share about your experiences in a culture shift. My research project as a whole focuses on the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident. My study does not aim to evaluate your personal techniques or experiences. Rather, I am trying to learn more about your perceptions of what the superintendent did to guide the organization through a culture shift.

Questions:
CHANGE STEP 1: After the scandalous critical incident occurred in your educational system, do you feel the superintendent established a sense of urgency to shift the culture of the system? Can you provide details or examples regarding why you feel this way?
  - Change Probe: What was the response of stakeholders in the educational system?
  - Change Probe: What was the timeframe between the scandalous critical incident and the creation of a sense of urgency?
  - Source of Authority Probe: What were the actions of the superintendent during this initial phase?
  - Change Probe: How do you feel the superintendent’s efforts to establish a sense of urgency was received?
  - Source of Authority Probe: How did stakeholders comply with the superintendent’s efforts to establish a sense of urgency?

CHANGE STEP 2: Was there a creation of a stakeholder group to shift the culture after the scandalous critical incident occurred?
  - Change Probe: Describe the values each member of the coalition brought to the team?
  - Change Probe: How did stakeholders respond to the creation of the stakeholder group?
  - Source of Authority Probe: Did the superintendent have a role in the creation of the stakeholder group?
Source of Authority Probe: Which stakeholders comprised the team and who was responsible for deciding which stakeholders served? Can you provide details or examples regarding why you feel this way?

CHANGE STEP 3 - Was an effort established that allowed for members of the educational system to create a vision for the future and shift the culture? Can you provide details or examples regarding why you feel this way?
   Change Probe: List any stakeholders that had a role in developing a vision for the educational system.
   Change Probe: How did stakeholders respond to the ability to take a part in creating the vision?
   Change Probe: If possible, can you describe any of the tenets of the vision that were created?
   Source of Authority Probe: What were the actions of the superintendent in creating the vision?
   Source of Authority Probe: Did the superintendent seek input from stakeholders in the educational system that were not part of the coalition? Members of the coalition? Can you provide details or examples regarding why you feel this way?

CHANGE STEP 4 - Was the vision for the future communicated to all stakeholders in the educational community during the culture shift? Can you provide details or examples regarding why you feel this way?
   Change Probe: Describe the style of communication that took place to communicate the vision for the future of the educational system?
   Change Probe: How did stakeholders respond to the communication?
   Source of Authority Probe: What were the actions of the superintendent in this step of the process?

CHANGE STEP 5 - Were stakeholders empowered to implement the vision for the future and make changes during the culture shift? Can you provide details or examples regarding why you feel this way?
   Change Probe: How was the success of the strategies that were to be implemented measured?
   Change Probe: Can you describe any stakeholder attempts to personally implement the vision?
   Source of Authority Probe: What were the actions of the superintendent to empower stakeholders to remove barriers to change?

CHANGE STEP 6: Were short term successes ever celebrated during the culture shift? Can you provide details or examples regarding why you feel this way?
   Change Probe: Was there ever a period of time that elapsed when momentum failed because successes weren’t celebrated? Can you provide details or examples regarding why you feel this way?
   Source of Authority Probe: Describe how the superintendent celebrated the short term successes?
CHANGE STEP 7: Did the focus for the culture shift of the educational system ever waiver? Can you provide details or examples regarding why you feel this way?
   Change Probe: Were other initiatives attempted during the shift in culture?
   Change Probe: How did stakeholders respond when the focus shifted?
   Source of Authority Probe: How did the superintendent react if new initiatives were attempted?

CHANGE STEP 8: Did the educational system achieve the vision that was created for the culture shift? Can you provide details or examples regarding why you feel this way?
   Change Probe: Did it become cemented within the framework of the system?
   Change Probe: How do you know the vision that was laid out for the educational system was fully attained?
   Source of Authority Probe: How did the superintendent respond when the vision that was laid out for the educational system was fully attained?
APPENDIX B

PARTICIPANT INVITATION LETTER
Dear Prospective Participant:

I am Dale Fisher, a doctoral student at Loyola University of Chicago. I am preparing to conduct my dissertation research, and I need your help. I am interested in examining the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident.

In order for me to learn about this, I am inviting you to participate in a one-on-one interview session with me that will be conducted at a location of your choosing. I have attached an informed consent form for your review and signature.

All responses and information you provide will be kept strictly confidential, and no one except me will know whether you participate or not. Of course, this is voluntary, and you are not in any way obligated to participate in this study.

Your participation would be helpful, and I would be most appreciative of your consideration to participate.

I am looking forward to learning more about the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident. If you have any questions, you may call me at my office at 847-945-1844 extension 7228 or on my private cell phone at 847-769-3507.

Sincerely,

Dale Fisher
Loyola University of Chicago EdD Student in Educational Leadership
APPENDIX C

PARTICIPANT CONSENT TO PARTICIPATE IN RESEARCH
Project Title: Examining the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident.

Researcher(s): Dale R. Fisher

Faculty Sponsor: Dr. Janis Fine

Introduction:
You are being asked to take part in a research study being conducted by Dale Fisher for a dissertation under the supervision of Dr. Janis Fine in the School of Education at Loyola University of Chicago.

You are being asked to participate because you were part of a culture shift that your district superintendent led following the occurrence of a scandalous critical incident.

Purpose:
The purpose of this study is to determine what superintendents do to help shift district culture after a scandal occurs in the district.

Procedures:
If you agree to be in the study, you will be asked to:
- Participate in a private 1-1 in-depth interview with the researcher to gather more details about your experiences. This interview will be completed at a location of your choosing, should take approximately 60-75 minutes to complete, and can be completed at your convenience either before or after work hours, or during work hours with your supervisor’s approval.
- Understand that an audio recording of the interview will be conducted and that a third-party transcription service will transcribe the interview.
- Review a transcript of your interview responses prior to its inclusion in the study. At that time, you may make corrections or provide further explanation to your answers if you wish.

Risks/Benefits of Being in the Study:
There are no foreseeable risks involved in participating in this research beyond those experienced in everyday life.

Confidentiality:
The records of this study will be kept in a confidential location by the researcher. The digital recordings and all data collected in this research will be kept confidential by the researcher and stored in a locked cabinet at the researcher’s home for five years, at which time they will be destroyed. The responses and participant identities will be coded so that individuals cannot be identified. All verbal or written reports will use only coded information. The names of both the participants and the educational system where the participant served as a stakeholder will be kept confidential. Pseudonyms will be assigned to both the participant and the educational system before the interview begins and actual names of the participant and the educational system will not be used in the
study summary and in any report of this study that might be published. The researcher will not include any information that will make it possible to identify a participant.

**Voluntary Participation:**
Participation in this study is voluntary. If you do not want to be in this study, you do not have to participate. Even if you decide to participate, you are free not to answer any question or to withdraw from participation at any time without penalty.

**Contacts and Questions:**
If you have questions about this research project or interview, feel free to contact Dale Fisher at 847-769-3507 or the faculty sponsor Dr. Janis Fine 312-915-7022

If you have questions about your rights as a research participant, you may contact the Loyola University Office of Research Services at 773-508-2689

**Statement of Consent:**
Your signature below indicates that you have read the information provided above, have had an opportunity to ask questions, and agree to participate in this research study. You will be given a copy of this form to keep for your records.

________________________          _______________________
Participant’s Signature                  Date

________________________          _______________________
Researcher’s Signature                  Date
APPENDIX D

SUPERINTENDENT PROTOCOLS
Introductory Protocol:
To facilitate our note-taking, I would like to digitally record our conversations today. Please sign the release form. For your information, only I will be privy to the digital recordings which will be eventually destroyed after they are transcribed, clarified, and confirmed by you. In addition, you must sign a form devised to meet human subject requirements. Essentially, this document states that: (1) all information will be held confidential, (2) your participation is voluntary and you may stop at any time if you feel uncomfortable.

I have planned this interview to last no longer than sixty minutes. During this time, I have several questions that I would like to cover. If time begins to run short, it may be necessary to interrupt you in order to push ahead and complete this line of questioning.

Introduction:
You have been selected to speak with me today because you have been identified as someone who has a great deal to share about your experiences in a culture shift. My research project as a whole focuses on the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident. My study does not aim to evaluate your leadership techniques or experiences. Rather, I am trying to learn more about your perceptions of what the superintendent did to guide the organization through a culture shift.

Questions:
Briefly tell me about the scandalous critical incident that occurred in your school district.

CHANGE STEP 1: After the scandalous critical incident occurred in your educational system, do you feel you established a sense of urgency to shift the culture of the system? Can you provide details or examples regarding why you feel this way?
  Change Probe: What was the response of stakeholders in the educational system?
  Change Probe: What was the timeframe between the scandalous critical incident and the creation of a sense of urgency?
  Source of Authority Probe: Describe your actions during this initial phase?
  Change Probe: How do you feel your efforts to establish a sense of urgency was received?
  Source of Authority Probe: How did stakeholders comply with your efforts to establish a sense of urgency?

CHANGE STEP 2: Was there a creation of a stakeholder group to shift the culture after the scandalous critical incident occurred?
  Change Probe: Describe the values each member of the coalition brought to the team?
  Source of Authority Probe: What were your actions during this initial phase?
  Change Probe: How do you feel your efforts to establish a sense of urgency was received?
Source of Authority Probe: How did stakeholders comply with the superintendents efforts to establish a sense of urgency?

CHANGE STEP 3 - Was an effort established that allowed for members of the educational system to create a vision for the future and shift the culture? Can you provide details or examples regarding why you feel this way?
  Change Probe: List any stakeholders that had a role in developing a vision for the educational system.
  Change Probe: How did stakeholders respond to the ability take a part in creating the vision?
  Change Probe: If possible, can you describe any of the tenets of the vision that were created?
  Source of Authority Probe: Specifically, what were your actions in creating the vision?
  Source of Authority Probe: Did you seek input from stakeholders in the educational system that were not part of the coalition? Members of the coalition?
  Can you provide details or examples regarding why you feel this way?

CHANGE STEP 4 - Was the vision for the future communicated to all stakeholders in the educational community during the culture shift? Can you provide details or examples regarding why you feel this way?
  Change Probe: Describe the style of communication that took place to communicate the vision for the future of the educational system?
  Change Probe: How did stakeholders respond to the communication?
  Source of Authority Probe: What were your actions in this step of the process?

CHANGE STEP 5 - Were stakeholders empowered to implement the vision for the future and make changes during the culture shift? Can you provide details or examples regarding why you feel this way?
  Change Probe: How was the success of the strategies that were implemented measured?
  Change Probe: Can you describe any stakeholder attempts to personally implement the vision?
  Source of Authority Probe: What were your actions to empower stakeholders to remove barriers to change?

CHANGE STEP 6 - Were short term successes celebrated during the culture shift? Can you provide details or examples regarding why you feel this way?
  Change Probe: Was there ever a period of time that elapsed when momentum failed? Can you provide details or examples regarding why you feel this way?
  Source of Authority Probe: Specifically describe how you celebrated the short term successes?

CHANGE STEP 7 - Did the focus for the culture shift of the educational system waiver? Can you provide details or examples regarding why you feel this way?
Probe: Were other initiatives attempted during the shift in culture?
Probe: How did stakeholders respond when the focus shifted?
Source of Authority Probe: How did you react new initiatives were discussed?

CHANGE STEP 8 - Did the educational system achieve the vision that was created for the culture shift? Can you provide details or examples regarding why you feel this way?
Change Probe: Did it become cemented within the framework of the system?
Change Probe: How do you know the vision that was laid out for the educational system was fully attained?
Source of Authority Probe: How did you respond when the vision that was laid out for the educational system was fully attained?
APPENDIX E

SUPERINTENDENT INVITATION LETTER
Dear Superintendent:

I am Dale Fisher, a doctoral student at Loyola University of Chicago. I am preparing to conduct my dissertation research, and I need your help. I am interested in examining the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident.

In order for me to learn about this, I am inviting you to participate in a one-on-one interview session with me that will be conducted at a location of your choosing. I have attached an informed consent form for your review and signature.

All responses and information you provide will be kept strictly confidential, and no one except me will know whether you participate or not. Of course, this is voluntary, and you are not in any way obligated to participate in this study.

Your participation would be helpful, and I would be most appreciative of your consideration to participate.

I am looking forward to learning more about the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident. If you have any questions, you may call me at my office at 847-945-1844 extension 7228 or on my private cell phone at 847-769-3507.

Sincerely,

Dale Fisher
Loyola University of Chicago EdD Student in Educational Leadership
APPENDIX F

SUPERINTENDENT CONSENT TO PARTICIPATE IN RESEARCH
**Project Title:** Examining the words and actions superintendents used to lead an educational system through a culture shift following the occurrence of a scandalous critical incident.

**Researcher(s):** Dale R. Fisher

**Faculty Sponsor:** Dr. Janis Fine

**Introduction:**
You are being asked to take part in a research study being conducted by Dale Fisher for a dissertation under the supervision of Dr. Janis Fine in the School of Education at Loyola University of Chicago.

You are being asked to participate because you are a superintendent who led your educational system through a culture shift following the occurrence of a scandalous critical incident.

**Purpose:**
The purpose of this study is to determine what superintendents do to help shift district culture after a scandal occurs in the district.

**Procedures:**
If you agree to be in the study, you will be asked to:
- Participate in a private 1-1 in-depth interview with the researcher to gather more details about your experiences. This interview will be completed at a location of your choosing, should take approximately 60 minutes to complete, and can be completed at your convenience either before or after work hours, or during work hours with your supervisor’s approval.
- You will have an opportunity to review your responses and a transcript of your interview prior to its inclusion in the study. At that time, you may make corrections or provide further explanation to your answers if you wish.

**Risks/Benefits of Being in the Study:**
There are no foreseeable risks involved in participating in this research beyond those experienced in everyday life.

**Confidentiality:**
The records of this study will be kept in a confidential location by the researcher. The digital recordings and all data collected in this research will be kept confidential by the researcher and stored in a locked cabinet at the researcher’s home for five years, at which time they will be destroyed. The responses and participant identities will be coded so that individuals cannot be identified. All verbal or written reports will use only coded information. The names of both the participants and the educational system where the participant served as a superintendent will be kept confidential. Pseudonyms will be assigned to both the participant and the educational system before the interview begins and actual names of the participant and the educational system will not be used in the
study summary and in any report of this study that might be published. The researcher will not include any information that will make it possible to identify a participant.

**Voluntary Participation:**
Participation in this study is voluntary. If you do not want to be in this study, you do not have to participate. Even if you decide to participate, you are free not to answer any question or to withdraw from participation at any time without penalty.

**Contacts and Questions:**
If you have questions about this research project or interview, feel free to contact Dale Fisher at 847-769-3507 or the faculty sponsor Dr. Janis Fine 312-915-7022

If you have questions about your rights as a research participant, you may contact the Loyola University Office of Research Services at 773-508-2689

**Statement of Consent:**
Your signature below indicates that you have read the information provided above, have had an opportunity to ask questions, and agree to participate in this research study. You will be given a copy of this form to keep for your records.

________________________________________  ________________
Participant’s Signature                    Date

________________________________________  ________________
Researcher’s Signature                    Date
APPENDIX G

STEP 1 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST
SERGIOVANNI’S SOURCES OF AUTHORITY
<table>
<thead>
<tr>
<th>Buchanan - Barnett, Will: § Reference(s) Coded [1.11% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.11% Coverage</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Long, Shirley: § Reference(s) Coded [8.02% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>2.30% Coverage</strong></td>
</tr>
<tr>
<td><strong>0.96% Coverage</strong></td>
</tr>
<tr>
<td><strong>2.04% Coverage</strong></td>
</tr>
<tr>
<td><strong>2.72% Coverage</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Loomis, Charles: § Reference(s) Coded [2.20% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>2.20% Coverage</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Everham, Scott: § Reference(s) Coded [11.87% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.57% Coverage</strong></td>
</tr>
<tr>
<td><strong>4.33% Coverage</strong></td>
</tr>
<tr>
<td><strong>5.97% Coverage</strong></td>
</tr>
</tbody>
</table>
### Polk Central - Callahan, Lori: § Reference(s) Coded [1.44% Coverage]

| 1.44% Coverage | I would say there was a sense of urgency. And definitely a sense of urgency, not only to rectify the immediate situation of you know, do you need to remove the teacher from the building, are students safe, but how do we clean up, how do we you know once we remove the situation, um how do we um focus on you know maintaining an orderly learning environment. I think was really Dr. Thompson’s focus. |

### Polk Central - Devitt, Dan: § Reference(s) Coded [9.02% Coverage]

| 2.36% Coverage | My first contact regarding the situation was from Dr. Thompson. He basically said, we have a Polk Central teacher who was arrested. I just assumed drunk driving or something to that affect. When he told me who the teacher was and what the situation was, I said okay, just a second, go back and start over because now I need to get a different frame of mind because we're talking about something completely different. This is school related; it's going to directly impact what happens in the building. |

| 1.32% Coverage | So that was my first contact regarding the situation and that was basically almost at the point of “okay, we need to get a sub in the room because she's not going to be here today.” I methodically worked out a plan of action with Dr. Thompson and determine the best initial steps. |

| 3.13% Coverage | Then it immediately moved to pulling my admin team together for a quick "okay hold on to your hats, forget what’s going on because your day has just been redefined. Here’s the situation...” And everybody on the team then knows what their role is regarding their area of responsibility, whether it's discipline or student services or whatever it happens to be. They know that here's my piece of the puzzle. Here's what I can do to assist. If somebody's in a position not directly related, what can I do to help? Everybody at the table left the table knowing this is what they need to do [hits hand into fist] first, second, and worked their way right down the list. |

| 1.21% Coverage | Initially, he [Dr. Thompson] let me process through a number of steps and we really tried to hash out scenarios on how it would unfold. He laid out some clear guidelines on things that absolutely must happen, especially when it came to meeting with the media. |

| 1.00% Coverage | Because of Dr. Thompson’s team building and role identification expectations of the admin team and the leg work we did as a building to create our vision for leadership, each person knew their role and executed it. |

### Polk Central - Epstein, Cliff: § Reference(s) Coded [3.28% Coverage]

| 1.59% Coverage | Anytime when you have a staff or student crisis, it's important to get movement on it quickly. So from my understanding when the district office was aware of the situation, and I can’t remember specifically who was notified first, if it was the district they notified us immediately or if it was us, then we notified them immediately and developed a plan of action to move forward. |

<p>| 1.69% Coverage | The administrative team meets in the morning and says “Alright, we need to go through this, let's notify them as a team. Where are we going to put them? How are we going to let kids get in there? Do we have enough staff to facilitate that?” Just like Dr. Thompson would have the same meeting at District office with his core team and we were the people being notified of the steps that were being taken. |</p>
<table>
<thead>
<tr>
<th>Reference</th>
<th>Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>Polk Central - Greene, Brian: § Reference(s) Coded [2.51% Coverage]</td>
<td>0.39% Coverage In my role, I didn't have much contact with Dr. Thompson.</td>
</tr>
<tr>
<td></td>
<td>0.81% Coverage But with the building administration, I know for a fact that they were taking direction specifically from Dr. Thompson.</td>
</tr>
<tr>
<td></td>
<td>1.31% Coverage After that was over, and before 1st period started, I got a radio call from Mr. Devitt to come down to his office with the Athletic Director, so I was thinking one of my coaches was in trouble.</td>
</tr>
<tr>
<td>Polk Central - Thompson, Mike: § Reference(s) Coded [2.03% Coverage]</td>
<td>1.10% Coverage Uh, so I was driving to work, early one morning, got a phone call from the Chief of Police that they had received a phone call from a local retail store, early in the evening on the night before, that there was a suspicious car parked behind the retail store. The police investigated and they found the teacher and the student in a compromising position and initially.</td>
</tr>
<tr>
<td></td>
<td>0.94% Coverage We definitely created a sense of urgency and I think it was my role to be the lead for that concept. I think, and I’m just referencing my notes, I think once you recognize and appreciate the impact that the source of the information can have on the matter, the second thing to do is to get legal counsel involved.</td>
</tr>
<tr>
<td>Kotter, Step 1 - Sergiovanni, Moral Authority</td>
<td>Buchanan - Everham, Scott: § Reference(s) Coded [2.45% Coverage]</td>
</tr>
<tr>
<td>Polk Central - Callahan, Lori: § Reference(s) Coded [1.28% Coverage]</td>
<td>0.71% Coverage Um, she was a well-respected teacher amongst the staff and I think the first response by everybody was an emotional one. How could this happen? You know disbelief, dumbfounded that it would happen.</td>
</tr>
<tr>
<td></td>
<td>0.56% Coverage There were literally some emotional responses, teachers coming down to counselors literally crying anger; a lot of her students had a lot of anger about it.</td>
</tr>
<tr>
<td>Polk Central - Devitt, Dan: § Reference(s) Coded [1.41% Coverage]</td>
<td>1.41% Coverage I had spent quite a bit of time the year before with my administrative team, under the guidance of Dr. Thompson, team building and determining our make-up as a group. That structuring process resulted in my ability to pull them together in an instant and say that “I need you in my office immediately.”</td>
</tr>
<tr>
<td>Polk Central - Thompson, Mike: § Reference(s) Coded [1.45% Coverage]</td>
<td>1.45% Coverage The emotion and the secondary agendas of the individual can heavily influence the impact on the district. By that I mean in that situation the parent was the first to know and for whatever reasons, and still relatively unclear to me, although I attribute it to the raw emotion of the child being violated in that way by a trusted adult, there was anger directed toward the teacher but there was what appeared to be a secondary agenda by the parent to make certain that the media got it.</td>
</tr>
</tbody>
</table>
### Kotter, Step 1 - Sergiovanni, Professional Authority

<table>
<thead>
<tr>
<th>Buchanan - Barnett, Will: § Reference(s) Coded [2.05% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.23% Coverage</strong></td>
</tr>
<tr>
<td><strong>0.83% Coverage</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Long, Shirley: § Reference(s) Coded [3.10% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>3.10% Coverage</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Loomis, Charles: § Reference(s) Coded [7.63% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>2.13% Coverage</strong></td>
</tr>
<tr>
<td><strong>3.30% Coverage</strong></td>
</tr>
<tr>
<td><strong>2.20% Coverage</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Callahan, Lori: § Reference(s) Coded [2.47% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.70% Coverage</strong></td>
</tr>
<tr>
<td><strong>0.77% Coverage</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Devitt, Dan: § Reference(s) Coded [1.21% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.21% Coverage</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Epstein, Cliff: § Reference(s) Coded [1.37% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.37% Coverage</strong></td>
</tr>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>----------</td>
</tr>
<tr>
<td>0.64%</td>
</tr>
<tr>
<td>2.57%</td>
</tr>
</tbody>
</table>

Kotter, Step 1 - Sergiovanni, Psychological Authority

<table>
<thead>
<tr>
<th>Coverage</th>
<th>Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.79%</td>
<td>Dr. Thompson serves as the glue between six schools and typically will ensure that other buildings are on high alert. Other schools will e-mail and say “hey if you need extra social workers and counselors let us know.”</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Coverage</th>
<th>Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.78%</td>
<td>Ironically, however, the district did not come under the scrutiny, did not come under the criticisms that earlier incidents may have generated. And that’s why I believe one of maybe the most prominent factors from my experiences is the source of the information.</td>
</tr>
<tr>
<td>1.45%</td>
<td>The emotion and the secondary agendas of the individual can heavily influence the impact on the district. By that I mean in that situation the parent was the first to know and for whatever reasons, and still relatively unclear to me, although I attribute it to the raw emotion of the child being violated in that way by a trusted adult, there was anger directed toward the teacher but there was what appeared to be a secondary agenda by the parent to make certain that the media got it.</td>
</tr>
<tr>
<td>1.35%</td>
<td>In the situation we referencing, one of my first phone calls was to the child’s mother. I explained to her that I want to come and I want to talk and I want to meet. I also recognized that given the circumstances that may attract more attention from professional colleagues. She could not have been more appreciative of the call and respectfully but pretty directly asked, don’t come. She wanted the opposite as the other parent I mentioned earlier.</td>
</tr>
<tr>
<td>1.18%</td>
<td>In this other situation, even though I was third in line behind law enforcement to even know of it, the parent prioritized her family’s privacy, never went to the media, wouldn’t talk to me but by phone, was not at all interested in attracting negative attention to the school district, wanted it be handled professionally, discreetly, and to that end even though I was third in line to learn of it</td>
</tr>
</tbody>
</table>
APPENDIX H

STEP 2 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST SERGIOVANNI’S SOURCES OF AUTHORITY
<table>
<thead>
<tr>
<th>Buchanan - Barnett, Will: § Reference(s) Coded [2.19% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.15% Coverage</strong></td>
</tr>
<tr>
<td>At a certain point, the investigation, the knowledge of the investigation, the number of people involved reached a critical mass. We knew that we could no longer wait before we communicated something.</td>
</tr>
<tr>
<td><strong>1.04% Coverage</strong></td>
</tr>
<tr>
<td>It has to be his voice, even though there were a number of people who contributed to the decision-making process. It's the same model we follow each time something like this happens.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Long, Shirley: § Reference(s) Coded [3.55% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>3.55% Coverage</strong></td>
</tr>
<tr>
<td>From that point, Charles and I decided who we needed to talk with who fell into the first circle, which fell into the second circle, who do we need to talk with and investigate? We decided to have a police officer in the room and decided who we needed to interview. So we created a schedule and within a week or two we had interviewed everyone we needed to.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Callahan, Lori: § Reference(s) Coded [4.55% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.18% Coverage</strong></td>
</tr>
<tr>
<td>But our role was so much different. We, as in our department, were very removed from the legal aspect of this. I felt like the district office, the superintendent's office role, was really taking the role of discipline and to make sure that it was kept totally separate from the people perspective, meaning students and staff.</td>
</tr>
<tr>
<td><strong>0.83% Coverage</strong></td>
</tr>
<tr>
<td>From the director, which is basically assistant to the assistant superintendent and they typically come in and interview the teacher, put the facts together, you know work with Dr. Thompson; work with the legal team...the details.</td>
</tr>
<tr>
<td><strong>1.70% Coverage</strong></td>
</tr>
<tr>
<td>Personally, I go into [uses air quotes] “deal with this crisis mode.” So you know, some of those details about he's handling that or how he's doing are probably filtered more through Dan as opposed to me. I do know that Dan conveyed to us that he had daily conversations with Dr. Thompson and that he was processing all of the next steps collaboratively with him. But I don’t know the details of those conversations other than on the first days when we all met together.</td>
</tr>
<tr>
<td><strong>0.84% Coverage</strong></td>
</tr>
<tr>
<td>However, there are directors of each level in the district, so our relationship is generally with the Director of High Schools and he reports to the Asst. Sup of HR. He's kind of [uses air quotes] “our face” to district office folks.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Devitt, Dan: § Reference(s) Coded [2.39% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.82% Coverage</strong></td>
</tr>
<tr>
<td>When this happened, I have no doubt that everyone at that point clearly understood their role. They also understood the fact that times would arise when I would assign responsibilities outside of their immediate role so that I can stretch them as a future principal. And if this incident didn’t stretch their understanding of what it takes to be a principal, then I don’t know what would.</td>
</tr>
<tr>
<td><strong>0.57% Coverage</strong></td>
</tr>
<tr>
<td>Yeah, I would say. Everything we needed from the Dr. Thompson and the rest of the district was provided nearly immediately.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Epstein, Cliff: § Reference(s) Coded [3.34% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.44% Coverage</strong></td>
</tr>
<tr>
<td>I would probably say it was the principal, assistant principals, and the uh...special ed. administrator.</td>
</tr>
<tr>
<td><strong>1.21% Coverage</strong></td>
</tr>
<tr>
<td>I think he [Dr. Thompson] was, for one, facilitating it from the highest level. He had attorneys on speed dial to just let them know what the situation was at, if we needed to have them as a resource, in regards to, you know, the staff member and what do we do with her future as a teacher.</td>
</tr>
</tbody>
</table>
The administrative team meets in the morning and says “Alright, we need to go through this, let’s notify them as a team. Where are we going to put them? How are we going to let kids get in there? Do we have enough staff to facilitate that?” Just like Dr. Thompson would have the same meeting at District office with his core team and we were the people being notified of the steps that were being taken.

Polk Central - Greene, Brian: § Reference(s) Coded [4.08% Coverage]
- He kind of laid out that he didn't want us to mention anything yet, but it was probably going to be breaking in the news a few hours down the road.
- I wasn't really in those meetings. I really wasn't a part of all that. If those meetings happened whatever was decided came to me.
- No, I would have loved to have been a part of that. I don't know if they were happening but I wasn't a part of it.
- They were doing a good job of handling it that way and supporting the kids but then it just became finding a sub so we got a long-term sub in there who the kids may already know who subbed her classes before.

Polk Central - Mitchell, Pete: § Reference(s) Coded [4.93% Coverage]
- They did so the next morning. However, whenever it was, we immediately convened around the superintendent’s conference room, I believe it was the next morning, to determine what we will do and say.
- If you look at admin chart of our district, I am the only director who reports directly to the Superintendent. I do not have a filter and I will tell you that if the day ever comes when they put me under an Assistant Sup then that is the day I go look for an other job.
- Because if I'm going to be the one to speak for you, I need to be able to speak to you and make sure I understand what you want conveyed. I can't make that happen through three different people to get us there.
- Given that kind of proximity between my function, the superintendency and the district as a whole, that's the value that comes from being that resource. Everybody knows, with Mike's support to make everybody aware, that if we communicate, we communicate through me.

Polk Central - Thompson, Mike: § Reference(s) Coded [4.09% Coverage]
- We definitely created a sense of urgency and I think it was my role to be the lead for that concept. I think, and I'm just referencing my notes, I think once you recognize and appreciate the impact that the source of the information can have on the matter, the second thing to do is to get legal counsel involved.
- If the newspapers call or camera crews come to the school or whatever the case may be, there is one person in this district that is the assigned voice.
- In this case, I don’t involve my assistant for curriculum or the business department or student services. I definitely involve my administrator for personnel because of the likelihood that this is going to go to a teacher dismissal. So the lawyer, the board president, who in turn is responsible for sharing as much as he or she chooses to share with the rest of the board, but we are also guiding them with talking points so that when he gets a phone call, then this is his answer.
- So, the lawyer, the Board President, uh...we're blessed to have a community relations person who is that one contact that I identified as the voice of the district. Also, the Asst. Sup for Administration and Personnel, possibly one or two of their staff members in terms of conducting the investigation, the building principal and while each situation may lend itself to bringing someone else on, generally that would be it.
Kotter, Step 2 - Sergiovanni, Moral Authority

<table>
<thead>
<tr>
<th>Polk Central - Devitt, Dan: § Reference(s) Coded [2.37% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.41% Coverage I had spent quite a bit of time the year before with my administrative team, under the guidance of Dr. Thompson, team building and determining our make-up as a group. That structuring process resulted in my ability to pull them together in an instant and say that “I need you in my office immediately.”</td>
</tr>
<tr>
<td>0.74% Coverage We spent hours and hours the year before developing the make-up and structure of the team and I’m happy that role definition piece was pushed by Dr. Thompson.</td>
</tr>
<tr>
<td>0.21% Coverage Dr. Thompson and I talked and reflected often.</td>
</tr>
</tbody>
</table>

Kotter, Step 2 - Sergiovanni, Professional Authority

<table>
<thead>
<tr>
<th>Buchanan - Barnett, Will: § Reference(s) Coded [11.88% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.00% Coverage They suspected something was amiss but they didn't quite know what it was. After that had transpired over two weeks, then I'm brought into the loop. They're very good to do that when they feel that it could reach the level that there would be greater public scrutiny or interest or police involvement so we can all begin thinking and strategizing.</td>
</tr>
<tr>
<td>1.35% Coverage Superintendent, Human Resources Director, Public Relations, and about that same time there were a handful of people who directly involved in the situation that became part of the circle when the police decided to launch an investigation</td>
</tr>
<tr>
<td>0.76% Coverage When it began to elevate to a different level, he took a more direct role. We moved from a half dozen people to more than a dozen.</td>
</tr>
<tr>
<td>1.90% Coverage The reasoning behind making this decision was based on what we know, what do we need to begin thinking in terms of communication, who else needs to be a part of the communication was still a decision-making group of three to five people and Charles was at the center of that. Because his style is that he wants to be in the know.</td>
</tr>
<tr>
<td>1.19% Coverage He wants to be able to influence strategy and decisions. To his credit, he probably had two to four others who were giving him feedback from a variety of aspects which we specialize in; finances, HR, and PR.</td>
</tr>
<tr>
<td>1.12% Coverage Now Shirley was new and played an instrumental part in that core instrumental group. She had only been with us for a few months at the time. She was still learning group culture and dynamics.</td>
</tr>
<tr>
<td>1.50% Coverage Charles’s leadership style is visible, accessible, people recognize him as being decisive. So he had a small circle of people around him who offered a lot of give and take. Ultimately we realized that Charles has to own this because he is the superintendent.</td>
</tr>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>-----------</td>
</tr>
<tr>
<td>Buchanan - Long, Shirley: § Reference(s) Coded [12.39% Coverage]</td>
</tr>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>Buchanan - Loomis, Charles: § Reference(s) Coded [2.92% Coverage]</td>
</tr>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>Buchanan - Everham, Scott: § Reference(s) Coded [7.54% Coverage]</td>
</tr>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>Buchanan - Everham, Scott: § Reference(s) Coded [7.54% Coverage]</td>
</tr>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>Buchanan - Everham, Scott: § Reference(s) Coded [7.54% Coverage]</td>
</tr>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>Buchanan - Everham, Scott: § Reference(s) Coded [7.54% Coverage]</td>
</tr>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>Buchanan - Everham, Scott: § Reference(s) Coded [7.54% Coverage]</td>
</tr>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>Buchanan - Everham, Scott: § Reference(s) Coded [7.54% Coverage]</td>
</tr>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>Polk Central - Callahan, Lori: § Reference(s) Coded [3.12% Coverage]</td>
</tr>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>Polk Central - Callahan, Lori: § Reference(s) Coded [3.12% Coverage]</td>
</tr>
<tr>
<td>Coverage</td>
</tr>
</tbody>
</table>
I would say all of those people made the team but I would say really the counselors and the two social workers and I were really the ones who handled the teacher and student issues.

Our building leadership team functions differently than my department. They are like brothers to me. Dan is called Dad. We joke around and call him Dad. Our administrative team relationship in the building is similar to that which I have with my department. The district is a good relationship but it’s definitely much more distant.

Then it immediately moved to pulling my admin team together for a quick “okay hold on to your hats, forget what’s going on because your day has just been redefined. Here’s the situation…” And everybody on the team then knows what their role is regarding their area of responsibility, whether it's discipline or student services or whatever it happens to be. They know that here's my piece of the puzzle. Here's what I can do to assist. If somebody's in a position not directly related, what can I do to help? Everybody at the table left the table knowing this is what they need to do [hits hand into fist] first, second, and worked their way right down the list.

The initial team at the building level and actually as the situation occurred it was fairly close to the start if my second year as a principal, was the assistant principals, and the associate principal.

Because of Dr. Thompson’s team building and role identification expectations of the admin team and the leg work we did as a building to create our vision for leadership, each person knew their role and executed it.

We talked about it as a group of three, right there.

So it was that time that it came closer that it was going to start breaking, I went back to Mr. Devitt and said “Hey, Dan, you know what, I'd rather they hear it from, from us, rather than hear it from the internet or somebody who calls.

Well certainly well in advance of what transpired. In any organization you have members of the team who have been together for varying lengths of time. Charles and I have been together for 7 years. We know each other's style. I know what he expects. I know what he is comfortable with. We play off of each other and balance each other well.

He can speak to why he does it but my impression is that he doesn't want to give the appearance that there's some type of cover-up by the school.

Beyond that, we have developed a wonderful rapport and working relationship with the school district. It's something that is comfortable for us to do as well. We know a lot of the people at the district level and the high school level. As soon as they suspected that this was something that could potentially involve criminality, they contacted the police department and asked us to begin with the interview process.
<table>
<thead>
<tr>
<th>Reference(s) Coded</th>
<th>Coverage</th>
<th>Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>Polk Central - Devitt, Dan: §</td>
<td>0.89%</td>
<td>However, he remained a constant support to us offering professional support to my admin team, pushing extra services from around the district our way but things were beginning to settle down.</td>
</tr>
<tr>
<td>Polk Central - Epstein, Cliff: §</td>
<td>1.08%</td>
<td>Again, putting the right admin together is Mike’s doing. He strives to provide balance so we are an asset to each other and then under Dan’s leadership at the building level we just get things resolved, through the support of the leadership at District Office</td>
</tr>
<tr>
<td>Polk Central - Greene, Brian: §</td>
<td>1.71%</td>
<td>So we met as an entire staff and talked about things. I held another meeting back for the PE teachers, whoever wanted to stay. You know it wasn't mandatory. But there was probably at least 75% of the PE department, which included all of the females.</td>
</tr>
<tr>
<td>Polk Central - Mitchell, Pete: §</td>
<td>1.18%</td>
<td>We have built a very good relationship with all of our area police departments. As you know our district is very large across multiple boundaries. So but we worked very hard to establish a strong and proactive relationship.</td>
</tr>
<tr>
<td>Polk Central - Thompson, Mike: §</td>
<td>1.16%</td>
<td>We’re not meeting every day, were meeting every other hour. After each meeting, we’re saying, “Principal get back to the work of your building and report back in two hours.” Let us know if kids are aware of this? Is staff aware of this? How is this impacting? Are kid’s high fiving? Do we have the supports, because the other thing that we have is a crisis team ready to be deployed?”</td>
</tr>
</tbody>
</table>

**Kotter, Step 2 - Sergiovanni, Technical-Rational Authority**

<table>
<thead>
<tr>
<th>Reference(s) Coded</th>
<th>Coverage</th>
<th>Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buchanan - Barnett, Will: §</td>
<td>2.16%</td>
<td>Then it moves beyond a nucleus of a half-dozen people to 12 people or a few more than a dozen who had some awareness of the issue.</td>
</tr>
<tr>
<td>Buchanan - Loomis, Charles: §</td>
<td>2.49%</td>
<td>There was enough evidence on the surface to suggest something wasn’t quite right but in order for the police to delve deeper into what was going on, they had to start questioning people. When they start questioning people the circle grows bigger.</td>
</tr>
<tr>
<td>Buchanan -</td>
<td>1.17%</td>
<td>I think a couple of good things going for me. I'm not going to say I'm the best or worst. I think I embrace problem solving. I am unflappable.</td>
</tr>
<tr>
<td>Buchanan -</td>
<td>1.32%</td>
<td>I think I have the ability to recognize talent and retain it. You can be the best manager in baseball without the right players; you're going to lose a lot of games.</td>
</tr>
</tbody>
</table>
APPENDIX I

STEP 3 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST SERGIOVANNI’S SOURCES OF AUTHORITY
### Kotter, Step 3 - Sergiovanni, Bureaucratic Authority

<table>
<thead>
<tr>
<th>Buchanan - Long, Shirley: § Reference(s) Coded [2.38% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>2.38% Coverage</strong> Will is very involved with that. He will draft and have something ready as a possible release from the district. Get it drafted, have some eyes on it. He anticipated that there could be an arrest and had ideas of how to communicate that.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Loomis, Charles: § Reference(s) Coded [1.17% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.17% Coverage</strong> I think a couple of good things going for me. I'm not going to say I'm the best or worst. I think I embrace problem solving. I am unflappable.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Everham, Scott: § Reference(s) Coded [9.28% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>3.30% Coverage</strong> In my opinion, I think you know we just sat down and we started figuring out who was anybody and everybody that we could talk to. We named all that we felt could have been involved. This included teachers and witnesses. Let's get them in here and interviewed as soon as possible. So we set up a schedule with everybody that we wanted to talk too and that happened pretty quickly.</td>
</tr>
<tr>
<td><strong>5.97% Coverage</strong> From the very beginning, he contacted the police early on. He got us involved from the very first step and it showed a lot of transparency. His job was to get that in motion and get people in line to do their jobs. He facilitated getting that done. If they had done a separate internal investigation, it would have lasted 3 or 4 months and then to have called us in would have resulted in a possible belief that the teacher was being protected. All of that of course, is in the back of his mind and how it was going to play in the community. That didn't seem to affect his decision making process. There was a possibility of criminal activity and he got the police involved immediately.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Callahan, Lori: § Reference(s) Coded [8.14% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.69% Coverage</strong> You know obviously it needed to stay out of the classroom, so whether it was a student talking about it or a staff member talking about it, we put the kibosh on it being a classroom discussion.</td>
</tr>
<tr>
<td><strong>0.77% Coverage</strong> The superintendent role was to coordinate the discipline of the staff, make sure that the building is safe; that the learning environment is respected and safe. Um, it really came from an educational perspective.</td>
</tr>
<tr>
<td><strong>1.18% Coverage</strong> But our role was so much different. We, as in our department, were very removed from the legal aspect of this. I felt like the district office, the superintendent's office role, was really taking the role of discipline and to make sure that it was kept totally separate from the people perspective, meaning students and staff.</td>
</tr>
<tr>
<td><strong>1.32% Coverage</strong> I think Dr. Thompson set it up that way in our district. Typically when there is a teacher discipline situation, the district comes in. That's our general line of protocol in any scandalous crisis type of situation in which a teacher would be disciplined, um we kind of do the initial &quot;it's been reported to us that x, y, z has happened&quot; we then go to the director.</td>
</tr>
<tr>
<td><strong>0.83% Coverage</strong> From the director, which is basically assistant to the assistant superintendent and they typically come in and interview the teacher, put the facts together, you know work with Dr. Thompson; work with the legal team...the details.</td>
</tr>
<tr>
<td><strong>0.90% Coverage</strong> There's kind of [uses air quotes] “this is how we're going to plan,” we let our secretarial staff know so that as students come to us we can kind of gauge how many are coming to us and from there we kind of make a decision based on what it looks like.</td>
</tr>
<tr>
<td><strong>1.37% Coverage</strong> That's always my role in the building to define and give examples of how and what to say and do. What signs to look for and how to redirect them. We never condone those conversations to take place in the classroom. They need to send them to student services. We describe that it is a private situation. It's a private discussion that cannot be done in a classroom of 30 kids.</td>
</tr>
</tbody>
</table>
And the role I play in the building is to communicate information with them when a crisis situation happens to figure out how we're going to address that, you know whether students coming to the office or staff coming to the office or are we going to set up some type of community counseling situation.

So Mike directed me to work very closely with Pete Mitchell in regard to what would be distributed via ConnectEd.

Our information to the teachers was that if the student appears to be distraught, we have counselors, social workers in the auditorium. Write them a pass and send them down. Don't bring your whole class down because it's unlikely all students will be distraught.

If it's a parent and a student and are distraught, they talk to Lori. Because she's a master at dealing with their emotions, if it's a parent and they are spitting nails and they are angry, then you are going to talk to Mr. Epstein.

They wanted to help but we advised them that they needed to exercise caution as well. Dr. Thompson provided a lot of guidance in this area. We told them if you make contact, you're making it as a friend and not as an employee of Polk Central.

It's easy to say that it has always been in place but it was modeled by Dr. Thompson and then it just became standard practice in all of the buildings. I mean it's just standard procedure for us if there is a death. If there is some crisis in general, servicing kids, those are the people you go to.

I think it goes back to when we initially met with the building administrative team and Dr. Thompson regarding how we were going to attack this. Our vision would be that we want this to be resolved as quickly as possible.

We want the... you know, one of the biggest things, dealing with the news coverage to be over. We've got guys in trucks walking up to the front door with cameras trying to take a picture of the building or trying to interview kids.

So, you know, I think the vision was how do we recover from this shock to the system and get back our school back to normal as fast as possible.

I don't know if you know Pete in the district, he's our PR guy, and he deals with all of the media, deals with all of that kind of stuff, FOIA, you name it. So Mike was useful to clarify "hey what's the role of the media. Who's allowed to talk to the media?"

He kind of laid out that he didn't want us to mention anything yet, but it was probably going to be breaking in the news a few hours down the road.

As far as a whole school vision, I don't feel like I was a part of that.

So in promoting a sense of urgency, the lawyers are on standby and a third factor, which I think probably aligned with the study that you're referencing is for the district to identify one individual whose job it is to scour the internet, scour newspapers, radio, television, and collect record, videotape any public report about it and to create both a paper and electronic album for us to review daily.
0.45% Coverage  | If the newspapers call or camera crews come to the school or whatever the case may be, there is one person in this district that is the assigned voice.
---|---
1.28% Coverage  | Their job is to lay out the protocols to the media sources. They’ll tell them that they are allowed to show up at this high school, they have a right to be across the street with a camera. They don't have a right to come on this property. Anybody else declines an interview. You're not the one person. It all goes through one person and obviously that person is pretty disciplined in what they can say and what they can't say.

**Kotter, Step 3 - Sergiovanni, Moral Authority**

Buchanan - Barnett, Will: § Reference(s) Coded [3.31% Coverage]

| 1.47% Coverage | It was transparency. What can we be transparent about at this time without jeopardizing the investigation? We know our community holds us accountable for transparency. We're always asking ourselves it time to communicate and what can we communicate. |
---|---
| 0.79% Coverage | Our goal is never to prevent or inhibit communication. Were always asking can we communicate at this point and what can we communicate? |
| 1.06% Coverage | However, the build-up to this provided a little more time for us to listen to what we were hearing and evaluate what we were hearing and then make decisions on a communication strategy. |

Buchanan - Long, Shirley: § Reference(s) Coded [4.09% Coverage]

| 2.71% Coverage | His goal is to make sure we get out in front of things. This helps with our integrity in the community. This person is a high profile individual and rumors start flying quickly. We had to do something but there was also a conversation with their own department over there. |
---|---
| 1.38% Coverage | Once there wasn't any question that money had disappeared, we knew exactly what the end game was and we were on the right path to get there. |

Buchanan - Everham, Scott: § Reference(s) Coded [1.25% Coverage]

| 1.25% Coverage | He can speak to why he does it but my impression is that he doesn't want to give the appearance that there's some type of cover-up by the school. |

Polk Central - Devitt, Dan: § Reference(s) Coded [1.79% Coverage]

| 1.79% Coverage | Dr. Thompson made sure other schools in the district were on high alert that their services may be needed and was constantly gauging us to determine if they needed to be sent. Through the communication that went out, the support we had in place for students and staff and being transparent, I can say that we identified how we wanted this resolved and worked pretty hard to get there. |

Polk Central - Thompson, Mike: § Reference(s) Coded [2.73% Coverage]

| 1.63% Coverage | If the community feels as though the district lost control, never really even seized control, tried to sidestep, and tried to hand it off to law enforcement, that's going to linger for years. This is the very nature of the scandal. You're obviously focused on the incident at hand, but you've got to recognize that the incident at hand has sent a very, very damning message about you're organization to the wider community and you better be positioning yourself to work to help the child while on the same time having an eye on the bigger picture. |
---|---
| 0.60% Coverage | Justice for the student and the teacher. Whatever that is, and in my experiences and I'm not suggesting in any way to be an expert, 35 years of experience with five or six situations of this magnitude |
And to emerge from that having recaptured, or at least regained some trust back from the community. Ah...one of the other very important variables was personal contact.

Kotter, Step 3 - Sergiovanni, Professional Authority

Buchanan - Long, Shirley: § Reference(s) Coded [5.62% Coverage]

<table>
<thead>
<tr>
<th>Coverage</th>
<th>We’ll the initial conversation when I found out and telling administrators in District office, the need to know administrators, it was that same day. After that, it was a call to the police, and that all happened relatively quickly.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Coverage</th>
<th>I had a police officer and an attorney scripting notes in the meeting. They had a union rep if the person warranted one. Parent boosters would come in. We also pulled, relatively soon, a communications team together to determine where we needed to go with the investigation and this helped craft the interview questions based on that.</th>
</tr>
</thead>
</table>

Polk Central - Callahan, Lori: § Reference(s) Coded [2.83% Coverage]

<table>
<thead>
<tr>
<th>Coverage</th>
<th>Our athletic director at the time had a very positive relationship with the student that was involved and the family of that student. He spent a lot of time talking to the student on how to handle himself hear in the building</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Coverage</th>
<th>We kind of had the general rule of when crisis takes place that we all kind of come together typically in the morning and I’d call a meeting. This situation would’ve been no different. Um, so there’s a meeting of the minds, this is what has happened, this is how we’re going to prepare for our day</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Coverage</th>
<th>Dr. Thompson serves as the glue between six schools and typically will ensure that other buildings are on high alert. Other schools will e-mail and say “hey if you need extra social workers and counselors let us know.”</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Coverage</th>
<th>The counseling staff absolutely had input.</th>
</tr>
</thead>
</table>

Polk Central - Devitt, Dan: § Reference(s) Coded [7.33% Coverage]

<table>
<thead>
<tr>
<th>Coverage</th>
<th>I had spent quite a bit of time the year before with my administrative team, under the guidance of Dr. Thompson, team building and determining our make-up as a group. That structuring process resulted in my ability to pull them together in an instant and say that “I need you in my office immediately.”</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Coverage</th>
<th>We spent hours and hours the year before developing the make-up and structure of the team and I’m happy that role definition piece was pushed by Dr. Thompson.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Coverage</th>
<th>Initially, he [Dr. Thompson] let me process through a number of steps and we really tried to hash out scenarios on how it would unfold. He laid out some clear guidelines on things that absolutely must happen, especially when it came to meeting with the media.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Coverage</th>
<th>We made sure we had services for the students. That day after school, the teachers were invited to an optional meeting in which they were informed of the situation. Basically, these are the facts, this is what we heard, this is what the situation is, and this is what we would like you to continue to do in the classroom. Stick with your lesson plans. That meeting happened that day after school. Dr. Thompson was on site for that meeting and we reflected after the meeting about the continuity of our message.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Coverage</th>
<th>However, he remained a constant support to us offering professional support to my admin team, pushing extra services from around the district our way but things were beginning to settle down.</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Coverage</th>
<th>Dr. Thompson and I talked and reflected often. This was as much about a peer support network as it was to determine the best course of action.</th>
</tr>
</thead>
</table>
I remember that next morning the building administrative team met as a group, if I remember correctly, and we kind of talked about a plan of attack. For one, how do we address the students in the class of the staff member, knowing that she's not going to be there today because her picture was plastered on the news, and how do we deal with the student, not knowing if that male student was going to be in the building? Third, how do we address the needs of the student body with those first two areas meshing into a climate issue?

So you know, we're meeting regularly, principal is giving me a constant gauge on the building, community relations is telling me what’s on the internet and what's on the radio. The lawyer, if they're not in the room, they're on speaker phone, the Asst. Sup. is already preparing the letters that need to go out to the staff member telling them officially, god knows you don't want a procedural error here, that officially you are on paid administrative pending the outcome of an investigation, etc. etc. etc. and he is preparing the suspension letter that if we should get to the point where if there is enough compelling evidence, then I'm not keeping that teacher on paid leave a day longer than I have to if guilt is found because the community is going to react to that.

In our case, Charles is really open to constructive feedback and does not mind when someone disagrees with him or feels we need to take a different approach. I can recall several conversations as this unfolded and we sat around the table.

We took what we knew at that moment, made decisions at each point in the timeline. There was a lot of back and forth and discussion disagreement based on what we knew at this moment. That's a healthy dynamic when you have the luxury of time. And even when you don't have it within these parameters to determine how much give and take there is going to be and ultimately what our response is.

Sometimes we're developing these things as we go. Working with Buchanan Police was easy. We always defer to them. We'll ask what we can communicate that doesn't jeopardize the investigation. We also had to keep in mind that this was an individual that we had all worked with. She was a colleague of ours, we knew her well, and we liked her.

Charles in particular took a very conservative approach because we were dealing with someone's career and livelihood. Initial information was preliminary and it would have been premature to release information because we didn't want to jeopardize their life or career. Those were sort of our overarching guidelines as we walked through it.

He is non-judgmental. He wants to make sure that he has all of the information possible. He doesn’t want to react too quickly and undo something. There are times when people might suggest getting too far out in front. However, he would tell us that “I respect all of you and what you're saying but I need to hold back a little bit.” And it has proven to be a correct decision all the time. However, when he does react, he's sure.
In this situation, we were always telling a clear story and the communication for that story happened over months, so we refresh people on the chapters that have already been told. So we said this and now we said this and avoiding those who are trying to catch you in inconsistencies in what you said. What we do is we keep an eye on the last three pieces of communication that went out as we create the current piece of communication.

I think we just had to let people talk about it in their own way. I would say all of those people made the team but I would say really the counselors and the two social workers and myself were really the ones who handled the teacher and student issues. When I think our counselors came to me and said teachers are coming down to see us and they're crying. We're overloaded. Not only do we have students we have our fellow colleagues who are not handling this well.

The first thing I do is walk in and share the situation and I'm kind of lucky a little bit because we have one person who lives in the district and whose kids actually went here. And then most of our counselors live in towns very close. None of us are more than a half hour away. A lot of them supervise things. Like one of them does a lot of athletic events, one of them is in charge of the Interact Club. We have one who used to be the poms coach so they’re very integrated into [pause]. They have a pulse on the student population.

I remember that right before the incident I had been discussing with Dr. Thompson that this was the first stretch of time where everything has been going great, we got a lot of things done. When this happened, I have no doubt that everyone at that point clearly understood their role. They also understood the fact that times would arise when I would assign responsibilities outside of their immediate role so that I can stretch them as a future principal. And if this incident didn’t stretch their understanding of what it takes to be a principal, then I don’t know what would.

Yes because many of them [PE teacher] were close friends with her and they were obviously concerned on a different level. They wanted to meet with her and find out what she was thinking but after I spoke with Dr. Thompson, we discussed that level of appropriateness when it came to contacting her.

We provided the correct supports until they weren't needed.
I remember that the first day or two was just about letting the kids process. Let them talk about their feelings. Work to support that group of kids in the dance room and that class period. I remember the counselors and social workers having a part in providing services when needed.

The district, Dr. Thompson, constantly asked if we need further assistance, do you need other social workers or counselors.

Mike is a resource for us.

I would probably say, and I can't speak what the exact conversations were between Dan and Mike, but from my end, Mike was always just extremely supportive and had a strong desire to know what's going on. If we needed input, if we needed suggestions he was the first person to offer "do this or try that" and did you get Pete Mitchell involved.

Mr. Devitt got up and talked about it. And throughout the day the administration would come and check in. "Hey, how's it going? Do you guys need anything? Hey just keep up your spirits everyone and we'll meet after school."

It just kind of carried over to the next day to ask everyone how they're doing. Make sure classes are covered. Is everyone fit to go into classes?

Lori set it up so that they could go and process it with someone who could help them.

It was mainly just continuing with our department to assist with anyone who wanted to talk but it was also just making sure those teachers felt supported.

So it forced me to look at my staff a little different; checking in with them a little more. And I felt like I did a good job of that. I knew them all really well but it made me step up my game a little more where I really tried to be more active and meet with them more.

As a team we also talked about what's going to happen when the student who was involved came back to school. There were a number of students who were resentful of him and my job was to make sure that I processed the fact that he was a kid and made a mistake with his peers.

Once we got more information from the police, I believe we worked them to craft a statement together that we could both have and release and share jointly and of course with our attorney's again there are privacy issues and there are staff issues for those involved. So there was a lot of back and forth going on; a lot of talking over the speaker phone in the conference.

Regardless of the outcome, this teacher is probably going to go through hell and to a degree you have to go through it with them and hold his or her hand until it becomes apparent that, the with all due respect, he or she belongs in hell.

Another, if I can go on with this, because the way you framed it seems to align, you get to your principal and you work with him and HR to hire the very best substitute teacher you've got, hopefully someone who is familiar with the building, knows the kids, is trusted by the kids, is familiar with their faces. They can walk in into a bit of a firestorm, and we won’t know at that point if they are going to be there for a week or the rest of the year.
Because my purpose in calling the family is what support can we provide to your child and to you. When you have a chance to talk to your family about this, tell us when we can sit down and talk to work together because some families aren’t going to send their child back to school because it’s too difficult to confront the questions.

If you have the supports in your building, great. All you have to do is call me and I'll have thirty social workers from the other 29 buildings in this district under your direction and the direction of your AP for Student Services.

---

**Kotter, Step 3 - Sergiovanni, Technical-Rational Authority**

<table>
<thead>
<tr>
<th>Buchanan - Loomis, Charles: § Reference(s) Coded [8.31% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.62% Coverage</td>
</tr>
<tr>
<td>1.59% Coverage</td>
</tr>
<tr>
<td>1.68% Coverage</td>
</tr>
<tr>
<td>2.53% Coverage</td>
</tr>
<tr>
<td>0.89% Coverage</td>
</tr>
</tbody>
</table>

---

**Polk Central - Devitt, Dan: § Reference(s) Coded [1.71% Coverage]**

| 0.80% Coverage | Dr. Thompson and I knew that information was going to be getting out quickly, so one of the things that I needed to make sure was that our parents had accurate information |
| 0.91% Coverage | His impact on the admin team was to be there to help define what our goals needed to be to return to normalcy and he reeled us in and asked for better clarity when our ideas were a bit unfocused. |

---

**Polk Central - Greene, Brian: § Reference(s) Coded [0.61% Coverage]**

| 0.61% Coverage | My personal vision was to determine if I missed something as the leader of that department |

---

**Polk Central - Mitchell, Pete: § Reference(s) Coded [6.75% Coverage]**

| 0.78% Coverage | You have to be deliberate. Be careful, be thoughtful because there are legalities involved but we had to say something and say it now and clearly. |
| 1.13% Coverage | So, we were prepared with a statement which we released proactively. Because the local press, which is online, had gotten hold of the information and of course the rumor mills kick in both among adults and students. |
| 1.44% Coverage | Let me preface this by saying that the word “plan” is not a four letter word. You should always think with the end in mind and work backwards. If you take the time you need, when you have the time to plan communications, then it is a something that you have to think about. |
80 percent of what comes at you is fine because you have already accounted for it. The other 20 percent then becomes the stuff that we have to process somewhat on the fly. But you don't have to worry about the other 80 percent because you’ve created systems to deal with the normalcy of the 80 percent, so you can just focus on this issue.

That being said, there needs to be a structure in place to analyze what we have from the police, talk with our attorneys, don't rush something out, don't move away from our talking points and I'm going to be out at the building until the last TV truck pulls away and we will reassemble to discuss the next steps.

Because you're dealing on the one hand with personnel law...and the responsibility that the district has to protect the confidence of the teacher, there is always the possibility that this didn't happen.

We sharing things such as “we are monitoring developments; the Superintendent has named the lead investigator. We have the timetable for conducting interviews, while maintaining this as confidential. You start communicating those things, people who are not, well most people, and I would probably say the exception are the hard liners who you are never going to convince and those who are, their just too close to it. There isn't anything you can do to get my trust back, because really that's what you're trying to do. I'm trying to rebuild trust that is lost with the family and the system as a whole.

One of the things we move to next is the creation of the press release. It's all factual. Ah...it's factual, but it clearly communicates the expression that this is as serious as it gets and that we are committed to the protection of our children. And we are launching an administrative investigation and we will be providing updates as they become available to us but we are going to meet the press, every day, even if it is to say that we have nothing new here.
APPENDIX J

STEP 4 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST

SERGIOVANNI’S SOURCES OF AUTHORITY
Um, I had nothing to do with what was delivered communication wise. Nine times out of ten, that communication would typically come from Pete Mitchell. However, there are directors of each level in the district, so our relationship is generally with the Director of High Schools and he reports to the Asst. Sup of HR. He's kind of [uses air quotes] “our face” to district office folks.

So Mike directed me to work very closely with Pete Mitchell in regard to what would be distributed via ConnectEd. So that was the only thing that Mr. Epstein needed to get involved in. He was pretty clear with them that “Hey, this is the way these things are going to happen. This is how we behave, this is what the expectations are and even though something happened, we still have those expectations.”

I look at myself in this building as kind of the one that people think of as having a heavy hand, the one who can have a difficult conversation. For me, you have administrators who have strengths and weaknesses. I have my strengths and I have my weaknesses and one of my strengths is not being afraid to deal with it.

I literally came out and planted myself here underneath the marquee out front; keeping in mind that the media can only come on to the public part of the property, they could not come into the building or approach the building. I know a lot of reporters from the area so it's appropriate and easy for me to say you can talk to whoever you want to but it’s got to be out there. You know if you're going to talk to a kid, I can't stop you but it's going to be out there.

Questions will come such as “well what do you hear, what do you know?” You’re a board member. This is not a situation that is open to sharing or gossip or to anything because that teacher has an attorney who is going to look at every one of our actions under a microscope and try to turn this on us.

While initially I or the board president may attend that conference, after the first two it will be the Director of Communications, but prior to that, there has to be a personal message delivered to staff, preferable within 24 hours of learning of the incident. Now we are going back to the staff and we're providing them all of them with professional development and we are deliberately scheduling an assembly or some instructional time for kids on protecting themselves.
### Kotter, Step 4 - Sergiovanni, Moral Authority

<table>
<thead>
<tr>
<th>Buchanan - Barnett, Will: § Reference(s) Coded [5.13% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.28% Coverage</td>
</tr>
<tr>
<td>You constantly playing in your mind how this will balance out in the court of public law and the court of public opinion and you make your decisions based on upon what you predict to be the outcome in both of those arenas.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Sergiovanni, Moral Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.97% Coverage</td>
</tr>
<tr>
<td>My perspective is that the court of public law is going to be conservative on what we could release. It’s a defensive posture that too many organizations take in situations like this. They kind of hunker down. They circle the wagons. We're going to hold onto this tight. We're not going to get ahead of it; we're not going to communicate.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Sergiovanni, Moral Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.88% Coverage</td>
</tr>
<tr>
<td>My position is always that it will play well in the court but it will be a loss in the court of public opinion. I'm constantly pushing the envelope. We understand the legal implications. Now put yourself in the position of the people sitting out there. How is this going to play in their minds? I feel like that is my role.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Long, Shirley: § Reference(s) Coded [1.94% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.94% Coverage</td>
</tr>
<tr>
<td>The vocal people didn't necessarily believe we were being forthright. They wanted us to investigate more but at the same time we needed to be able to prove a lot of things and that was difficult.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Loomis, Charles: § Reference(s) Coded [2.08% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.08% Coverage</td>
</tr>
<tr>
<td>The public doesn't have a right to know everything. But there are certain things they are entitled too. In the public domain, we do have a responsibility to give them information. There are certain pieces of information, for valid reasons, that is important.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Callahan, Lori: § Reference(s) Coded [0.56% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.56% Coverage</td>
</tr>
<tr>
<td>And just reassurance that you know this was not a consistent problem. This was a one-time thing. It was unfortunate, we all make mistakes, we all move on.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Devitt, Dan: § Reference(s) Coded [4.33% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.91% Coverage</td>
</tr>
<tr>
<td>We knew that it could become a huge bump to them if they treated it that way or it could be just a small bump if we choose to think of it that way. However, I don’t want you to think we weren’t considering the magnitude of the problem. Dr. Thompson was adamant that we remain transparent to the reality that this occurred and that we weren’t going to hide from it. We just refused to allow it to define us.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Epstein, Cliff: § Reference(s) Coded [1.96% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.13% Coverage</td>
</tr>
<tr>
<td>Dr. Thompson really pushes transparency without breaking protections of confidentiality where appropriate. In this case, as soon as we were aware of the situation, it was immediately acted upon. The teacher was never in the building again.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Epstein, Cliff: § Reference(s) Coded [1.96% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.30% Coverage</td>
</tr>
<tr>
<td>We also did such an aggressive job of making sure that we were transparent in the process. The parents saw how quickly that the relationship between the two was short term and that there wasn’t much to notice before they were caught. The finger pointing never really took off.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Epstein, Cliff: § Reference(s) Coded [1.96% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.71% Coverage</td>
</tr>
<tr>
<td>We take a couple of steps back in the eyes of the community and the surrounding area to be on the news for something like that. And Mike has a strong reputation in the community and his guidance to us is extremely important toward repairing whatever public trust was destroyed. I know that he and Dan were in talks a lot about repairing trust and being as transparent as possible in addressing the situation.</td>
</tr>
</tbody>
</table>
The world has changed. Your average parent is now a consumer of information and demands information. People get mad now when you don't tell them what's going on. That's what I bring to the table. And as a system, we are too big to be small anymore.

I think that's a blessing for me to have people who understand how deep the water is and that as horrific as this is for the child involved, as well as the teacher, there is a much bigger issue that needs to be addressed. And that is the trust of our community. Because you know, uh...this is going to end. I don't know how it's going to end. I just learned about it two hours ago but one things for certain, it's going to end, the question is what are the lingering effects of that because if it ends and the community for the most part can look at the district and say "well done" than that's the best we can hope for.

If the community feels as though the district lost control, never really even seized control, tried to sidestep, and tried to hand it off to law enforcement, that's going to linger for years. This is the very nature of the scandal. You're obviously focused on the incident at hand, but you've got to recognize that the incident at hand has sent a very, very damning message about your organization to the wider community and you better be positioning yourself to work to help the child while on the same time having an eye on the bigger picture.

<table>
<thead>
<tr>
<th>Buchanan - Everham, Scott: § Reference(s) Coded [1.93% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.93% Coverage</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Callahan, Lori: § Reference(s) Coded [2.82% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.07% Coverage</strong></td>
</tr>
</tbody>
</table>

| **0.38% Coverage** | Dr. Thompson and Pete always work together to generate talking points and communication to the community. |

| **1.37% Coverage** | That's always my role in the building to define and give examples of how and what to say and do. What signs to look for and how to redirect them. We never condone those conversations to take place in the classroom. They need to send them to student services. We describe that it is a private situation. It's a private discussion that cannot be done in a classroom of 30 kids. |

<table>
<thead>
<tr>
<th>Polk Central - Mitchell, Pete: § Reference(s) Coded [1.50% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.50% Coverage</strong></td>
</tr>
</tbody>
</table>
Everyone is scrambling to try and make sense of this situation because as time goes on and as facts become known and the investigation progresses, you're continuing to meet personally with staff and there is a point where I wean away and the principal acts alone with his staff, and the reasons are what was unknown is becoming known.

**Kotter, Step 4 - Sergiovanni, Psychological Authority**

**Buchanan - Barnett, Will:** § Reference(s) Coded [3.68% Coverage]

2.26% Coverage | There was a lot of interpersonal communication to what we would call key communicator groups. This includes PTO Presidents, fine art booster club at the high school. You kind of determine where you want to start and then it’s a ripple effect. We determine whose first and then follow a chain down from who needed to know first. Then it ultimately reaches a district wide/community wide level.

1.42% Coverage | If there is already a relationship in place, communication can take on a number of different appearances depending on the relationship. If we don't particularly know a key stakeholder, we'll defer to the building leaders to give us some insight.

**Buchanan - Loomis, Charles:** § Reference(s) Coded [8.54% Coverage]

3.05% Coverage | For the most part, we do communication well in this district. A lot of that has to do with the talent of Will Barnett and the team that is making the decisions. While Will can describe something better than anyone out there, a bad decision is still a bad decision and there isn't much he can do to improve it. What he does well is spot those holes and acknowledge those holes exist.

3.47% Coverage | In this situation, we were always telling a clear story and the communication for that story happened over months, so we refresh people on the chapters that have already been told. So we said this and now we said this and avoiding those who are trying to catch you in inconsistencies in what you said. What we do is we keep an eye on the last three pieces of communication that went out as we create the current piece of communication.

2.01% Coverage | Transparency is important. But a caveat I give is that there transparency exists to certain a degree. We do not have to be transparent to the point of being naked. It's not everyone’s right to see us naked and it’s not always pretty to see us naked.

**Polk Central - Callahan, Lori:** § Reference(s) Coded [2.61% Coverage]

1.33% Coverage | Other than what was happening when decisions were made, like she’s being removed from the building or she won't be back. Student will be attending or there's been a meeting with parents or things like that so we knew bits and pieces so they keep you informed of you know that we’re at this point and this stage but not necessarily how all of those pieces come together.

0.80% Coverage | If we have kids coming at once, we might decide to do something in an auditorium where if students are struggling, we can counsel them in group situations. You know, this situation was a little different with that regard.

0.49% Coverage | Often times if it’s a student crisis, certainly if it’s a staff issue it would not be appropriate for me to be giving that information.

**Polk Central - Devitt, Dan:** § Reference(s) Coded [2.22% Coverage]

0.69% Coverage | This included information that children are safe, that you should talk to you child because they are going to have questions about trusting adults.

0.50% Coverage | We needed to get information to staff members because they would quickly be hearing through the grapevine.
<table>
<thead>
<tr>
<th>Coverage</th>
<th>Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.04%</td>
<td>After the meeting we had that first day when we shared the facts of the situation, thanks to talking points created by Dr. Thompson and Pete Mitchell, there really wasn't any need to send much to staff and families beyond it.</td>
</tr>
<tr>
<td>Polk Central - Epstein, Cliff: § Reference(s) Coded [9.75% Coverage]</td>
<td></td>
</tr>
<tr>
<td>1.73%</td>
<td>I do know that some type of e-mail probably went out from Dan through consultation with the superintendent. It probably included something like, &quot;Hey if kids ask, this is what you are to share.&quot; We felt that it's not a topic for discussion in the curricular scope of the building, in the classrooms, but um, kids are curious and you need to, in a sense; educate them with what you can and then move on to teaching.</td>
</tr>
<tr>
<td>1.28%</td>
<td>He handled it professionally and it got down to the root of the issue and let's address it. Be efficient with it, don't dwell on certain things. Address it and move on. He evaluated it as we were moving along in that process. Dan learned that from Dr. Thompson because he runs the district the same way.</td>
</tr>
<tr>
<td>1.58%</td>
<td>I walked into some of the dance room classes and literally talked with the kids or it was the kids who were, because I remember we had another station on the stage in the auditorium where if kids they felt like they needed to come, basically in the sense that if it was a death of a staff member or a student, this is where you can come and talk and grieve and have some support.</td>
</tr>
<tr>
<td>1.89%</td>
<td>If kids would come in, they would have the opportunity to come and loiter around and talk to their friends and talk about, you know, in the sense the good times that we had with this teacher and how do we move forward. The counselors, social workers or whoever was in there at the time was in charge of facilitating that. It's almost as if there is a sense of grieving taking place. That first day, the kids, the females specifically were very upset.</td>
</tr>
<tr>
<td>1.60%</td>
<td>That would have been through e-mail or quick faculty meetings. I remember the first thing that happened when staff came into the building the day after we told them about it was that they were going off of speculation. They believed they knew where it took place; this is what took place in that car. The speculation was trying to interpret what really took place in that vehicle.</td>
</tr>
<tr>
<td>1.68%</td>
<td>He [Mike] hired a group of leaders who bring different strengths to the table and it’s no good if we’re all the same because how would we compensate for a deficiency in a particular area. I know for sure that Dan would say that this is in Cliff's wheelhouse and that he looks to me to deal with those situations, to keep me abreast of the situations and to, you know, get me involved when I need to be.</td>
</tr>
<tr>
<td>Polk Central - Greene, Brian: § Reference(s) Coded [5.62% Coverage]</td>
<td></td>
</tr>
<tr>
<td>1.60%</td>
<td>So it was that time that it came closer that it was going to start breaking, I went back to Mr. Devitt and said “Hey, Dan, you know what, I’d rather they hear it from, from us, rather than hear it from the internet or somebody who calls.</td>
</tr>
<tr>
<td>1.16%</td>
<td>So we met really quickly. Dan told them all and it was like somebody had died. Female student teachers are crying. So then it was just picking up the pieces from there.</td>
</tr>
<tr>
<td>1.71%</td>
<td>So we met as an entire staff and talked about things. I held another meeting back for the PE teachers, whoever wanted to stay. You know it wasn't mandatory. But there was probably at least 75% of the PE department, which included all of the females.</td>
</tr>
<tr>
<td>0.73%</td>
<td>We stayed for probably two hours after school, just people talking and trying to figure out how to move on.</td>
</tr>
<tr>
<td>0.41%</td>
<td>It was mostly face-to-face to be more personable with them.</td>
</tr>
</tbody>
</table>
### Polk Central - Mitchell, Pete: § Reference(s) Coded [5.33% Coverage]

<table>
<thead>
<tr>
<th>Coverage</th>
<th>The original message that Dr. Thompson and I crafted would have been sent through Mr. Devitt to his families in the Polk Central system and the way it happens is via the blast voicemail/e-mail system called ConnectEd.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coverage</td>
<td>This is my job unless there are things that rise to a level that the superintendent has to step in. We've had a couple of things in which Mike needed to be the one to do the talking. I don't want to overstate my own importance. The value is not me, it's the role. The focus is not on curriculum, budget, Special Ed. It's just communication.</td>
</tr>
<tr>
<td>Coverage</td>
<td>For me, everything comes down to perception. There is no reality. It's what people think and if we can take advantage of whatever the moment gives us, to influence what they think, not spin. In this case, she's not coming back, nobody was hurt, kids will receive counseling as needed, the day will continue as normal. Another key point is that she passed every background check, state licensure exam, there's nothing to indicate that we missed something.</td>
</tr>
</tbody>
</table>

### Polk Central - Thompson, Mike: § Reference(s) Coded [5.79% Coverage]

| Coverage | And, it's not that you're battening down the hatches because that’s the opposite, you need to be transparent but guarded. You're saying, “I'm not going to be able to answer all your questions”, reporter, “because you know before you ask them that it's a violation of personnel law for me to answer that.” But I'm also not going to leave you in the cold. I'm giving you something because you have a job to do. |
| Coverage | We sharing things such as “we are monitoring developments; the Superintendent has named the lead investigator. We have the timetable for conducting interviews, while maintaining this as confidential. You start communicating those things, people who are not, well most people, and I would probably say the exception are the hard liners who you are never going to convince and those who are, their just too close to it. There isn't anything you can do to get my trust back, because really that's what you're trying to do. I'm trying to rebuild trust that is lost with the family and the system as a whole. |
| Coverage | Because my purpose in calling the family is what support can we provide to your child and to you. When you have a chance to talk to your family about this, tell us when we can sit down and talk to work together because some families aren’t going to send their child back to school because it’s too difficult to confront the questions. |
| Coverage | The Polk School District family has suffered a loss and when a family suffers a loss they come together. We have thirty buildings. This building suffered a loss so we come support each other when possible. In real life, if we live out of state we come home. The family comes home so the superintendent is visible and it's a lot of “thanks.” They don't even know why they are thanking me. Except, I think there's a comfort in knowing, there's a comfort through my role in being present, and yes I have my antenna out and I'm gauging and recognizing are we still okay? Do we need supports? |

### Kotter, Step 4 - Sergiovanni, Technical-Rational Authority

<table>
<thead>
<tr>
<th>Buchanan - Barnett, Will: § Reference(s) Coded [7.16% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>Buchanan - Long, Shirley: § Reference(s) Coded</td>
</tr>
<tr>
<td>Buchanan - Loomis, Charles: § Reference(s) Coded</td>
</tr>
<tr>
<td>Polk Central - Devitt, Dan: § Reference(s) Coded</td>
</tr>
<tr>
<td>Polk Central - Epstein, Cliff: § Reference(s) Coded</td>
</tr>
<tr>
<td>Polk Central - Mitchell, Pete: § Reference(s) Coded</td>
</tr>
<tr>
<td>Coverage</td>
</tr>
<tr>
<td>1.95% Coverage</td>
</tr>
<tr>
<td>1.91% Coverage</td>
</tr>
<tr>
<td>2.78% Coverage</td>
</tr>
<tr>
<td>1.63% Coverage</td>
</tr>
<tr>
<td>2.47% Coverage</td>
</tr>
</tbody>
</table>
APPENDIX K

STEP 5 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST
SERGIOVANNI’S SOURCES OF AUTHORITY
Also, I literally came out and planted myself here underneath the marquee out front; keeping in mind that the media can only come on to the public part of the property, they could not come into the building or approach the building. I know a lot of reporters from the area so it’s appropriate and easy for me to say you can talk to whoever you want to but it’s got to be out there. You know if you’re going to talk to a kid, I can’t stop you but it’s going to be out there.

Dr. Thompson's leadership style is centered on his trust for the admin team to do the job that needed to get down. He hired us with a unique set of skills that are meant to balance each other. He was routinely in the loop to share his ideas and listen to ours. We found common ground on how to deal with the situation and he ensured that all the supports were in place for us to move past this.

Teachers are your very best ambassadors or they are your worst detractors. Parents believe teachers. They trust teachers. Administrators, I'm not saying they don't trust, but thy never trust to the level they do teachers because you don’t have "Joey" sitting in your office like the teacher has Joey in her classroom. When Joey was sick the teacher did this and that.

He would give ideas and I would bounce back with subtle shifts. We did a lot of check-ins and he offered a lot of reassurance. Some very open conversations included his push for me to use the attorney, use the accountant. If you feel you need something, let me know and we'll get it for you. For not one minute did I ever feel like I was on my own and this was crazy, let me tell you. Wow, I can’t even believe this is happening...a 20 something year veteran and administrator but I knew immediately that this was serious and that I was going to have to take this on.

Any meeting you have with him and any situation you have like this he is actively listening and reflecting. I have been incredibly valued and my work has been valued. I have learned so much about the importance of reflection and a thoughtful approach.

You have to really start building relationships with your team. You have to know their talents, capacities, and skillsets. You have to know that they feel comfortable accessing you whenever they need to and that you will ensure that access is available for them.

If you work with people enough, they start knowing when they might be getting too far out on a limb or too far over their skis. If their smart, they'll know to pull back...check-in, touch base and firm up the other person holding the limb.

So we kind of just talk about it and in general make decision about what needs to be done and they have a really good pulse on, um, I like that word, of what our kids are saying and doing and what might be needed.
I make that decision on my own but I have been empowered to make that decision.

As a district, Dr. Thompson set us up so that the district handles the community, um [pause] confirming information. How we handle the people, the students, the staff, the parents, um really in our building comes down to the Polk Central admin.

I would say it is across the district and was created by Dr. Thompson at district office. However, I've been here seven years and I don't think someone ever formally told me this is how we do it.

It's just how we do it. I think they trust that we know how to do our job. It's one of the things that I love about Dr. Thompson.

On a professional level he trusted me to be the point person in the building and said if you need additional social workers/counselors then let me know.

Dr. Thompson was serving as a support to the school throughout the problem but he really was instrumental in being my sounding board. Being a principal in this type of situation isn’t easy and it wouldn’t be any different for a superintendent. He actively listened to me and really helped me to understand a path to right this ship again because we didn’t need to go back to where we once were.

A lot of that is going to be the individual conversations that take place with teachers because they work closely with them. The division heads teach one period a day and can be available to create individual relationships with the staff.

His impact on the admin team was to be there to help define what our goals needed to be to return to normalcy and he reeled us in and asked for better clarity when our ideas were a bit unfocused.

Counselors and social workers felt like we respected their craft because this is what they are trained to do and we entrusted them to do it. They felt validated.

The building admin team didn’t need to be the only people who could deal with this and the district admin team, led by Mike shouldn’t shoulder it alone.

I would call down and get a social worker to come in and help as well when the topic started to resurface amongst the students.

You know even in my role now, I don't always have to have my assistant principal watching over my shoulder to see what the division chairs are doing.

Like I said, I work closely with Cliff and Stan. It was very seldom that I felt like they were down there watching what I was doing.

I believe all of the communications went through him to his school community only, and they were crafted by me and reviewed by Dr. Thompson.

It is coordinated. Everyone has a role and the expectation is that the role is carried out. Let me clarify. No one works or makes major decisions in isolation. People carry out their roles as defined by the structure Dr. Thompson put into place. People are then trusted to do the job they are supposed to do but no one decides how a situation of this magnitude will be determined alone.

We created a collaborative plan and those people responsible for roles with the plan carried them out near flawlessly.
<table>
<thead>
<tr>
<th>Buchanan - Barnett, Will: § Reference(s) Coded [1.42% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.42% Coverage</strong></td>
</tr>
<tr>
<td>If there is already a relationship in place, communication can take on a number of different appearances depending on the relationship. If we don't particularly know a key stakeholder, we'll defer to the building leaders to give us some insight.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Long, Shirley: § Reference(s) Coded [1.67% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.67% Coverage</strong></td>
</tr>
<tr>
<td>I was empowered to speak with attorneys and auditors. I crafted updates for the board. He allowed me to handle it with the knowledge that I'm not doing it in a vacuum.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Loomis, Charles: § Reference(s) Coded [6.14% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>2.95% Coverage</strong></td>
</tr>
<tr>
<td>I think it's having the ability to multi-task on a lot of different things and walk into a room and say have you thought of this and have you thought of that, what's happening here. If the answers that you're getting are solid, then it gives you confidence. If the answers you are getting are shaky then you need to get closer to that fire and pay much more attention.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Loomis, Charles: § Reference(s) Coded [6.14% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>3.19% Coverage</strong></td>
</tr>
<tr>
<td>If I walk into a room with Shirley and I ask six questions and I get six answers quickly and confidently that resonate with me and are logical and solid, then we're good. If there seems to be a little queasiness on it or they are not well thought out, I might say don't go any farther on that until we can sit down and process or I'll say get me these five pieces of information then come back to me.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Everham, Scott: § Reference(s) Coded [2.60% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>2.60% Coverage</strong></td>
</tr>
<tr>
<td>And never at any time did we come in one morning and sit down with Shirley to say Dr. Loomis wants us to go this way. We stayed on a path and we're never told to look this way or look away. He trusted us to do what's best for the district and system. Wherever the evidence leads you, we support you.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Callahan, Lori: § Reference(s) Coded [5.03% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.90% Coverage</strong></td>
</tr>
<tr>
<td>So as far as the professional team that handled the stakeholders it would be the counseling staff, social workers in the building and then myself. I think other administrators in the building as well kind of become the management crew, so to speak.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Callahan, Lori: § Reference(s) Coded [5.03% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.81% Coverage</strong></td>
</tr>
<tr>
<td>Our athletic director at the time had a very positive relationship with the student that was involved and the family of that student. He spent a lot of time talking to the student on how to handle himself hear in the building.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Callahan, Lori: § Reference(s) Coded [5.03% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.80% Coverage</strong></td>
</tr>
<tr>
<td>If we have kids coming at once, we might decide to do something in an auditorium where if students are struggling, we can counsel them in group situations. You know, this situation was a little different with that regard.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Callahan, Lori: § Reference(s) Coded [5.03% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.97% Coverage</strong></td>
</tr>
<tr>
<td>We not only e-mailed the staff to not only let them know that a situation has happened and how to address students in your classroom who may need to see someone but we also make sure there are certain services available to them and we say that. We never did that before.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Callahan, Lori: § Reference(s) Coded [5.03% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.79% Coverage</strong></td>
</tr>
<tr>
<td>Dr. Thompson serves as the glue between six schools and typically will ensure that other buildings are on high alert. Other schools will e-mail and say “hey if you need extra social workers and counselors let us know.”</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Callahan, Lori: § Reference(s) Coded [5.03% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.76% Coverage</strong></td>
</tr>
<tr>
<td>They know I care genuinely about them as people. Um, I always put them first; I always put their families first. When I expect them to put their students first and they know that, there are clear expectations.</td>
</tr>
<tr>
<td>Reference(s) Coded</td>
</tr>
<tr>
<td>-------------------</td>
</tr>
<tr>
<td>Polk Central - Devitt, Dan: § Reference(s) Coded [1.35% Coverage]</td>
</tr>
<tr>
<td>0.89% Coverage</td>
</tr>
<tr>
<td>0.46% Coverage</td>
</tr>
<tr>
<td>Polk Central - Epstein, Cliff: § Reference(s) Coded [3.47% Coverage]</td>
</tr>
<tr>
<td>1.37% Coverage</td>
</tr>
<tr>
<td>1.05% Coverage</td>
</tr>
<tr>
<td>1.05% Coverage</td>
</tr>
<tr>
<td>Polk Central - Greene, Brian: § Reference(s) Coded [5.10% Coverage]</td>
</tr>
<tr>
<td>0.97% Coverage</td>
</tr>
<tr>
<td>0.73% Coverage</td>
</tr>
<tr>
<td>0.79% Coverage</td>
</tr>
<tr>
<td>1.71% Coverage</td>
</tr>
<tr>
<td>0.90% Coverage</td>
</tr>
<tr>
<td>Polk Central - Mitchell, Pete: § Reference(s) Coded [3.87% Coverage]</td>
</tr>
<tr>
<td>1.25% Coverage</td>
</tr>
<tr>
<td>1.20% Coverage</td>
</tr>
<tr>
<td>1.43% Coverage</td>
</tr>
<tr>
<td>Source</td>
</tr>
<tr>
<td>------------------------</td>
</tr>
<tr>
<td>Buchanan - Barnett, Will</td>
</tr>
<tr>
<td>Buchanan - Long, Shirley</td>
</tr>
<tr>
<td>Buchanan - Loomis, Charles</td>
</tr>
<tr>
<td>Polk Central - Mitchell, Pete</td>
</tr>
</tbody>
</table>
APPENDIX L

STEP 6 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST SERGIOVANNI’S SOURCES OF AUTHORITY
**Kotter, Step 6 - Sergiovanni, Bureaucratic Authority**

<table>
<thead>
<tr>
<th>Reference(s) Coded</th>
<th>Coverage</th>
<th>Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>Polk Central - Callahan, Lori: §</td>
<td>0.78%</td>
<td>And just because the lesson there, just because someone in our family made a mistake doesn’t mean it’s a big pile of mistake. We're not a bad family. I think our people recognize that and they have healed from that.</td>
</tr>
<tr>
<td>Polk Central - Devitt, Dan: §</td>
<td>2.84%</td>
<td>In this case, as soon as we were aware of the situation, it was immediately acted upon. The teacher was never in the building again.</td>
</tr>
<tr>
<td></td>
<td>0.62%</td>
<td>I think she retrieved her personal effects through an escort from district office representative after hours and that escort may have been Dr. Thompson. But other than that, boom...gone. No longer employed by the district.</td>
</tr>
<tr>
<td></td>
<td>1.04%</td>
<td>Moreover, we took an aggressive stance to have her license revoked through the ROE.</td>
</tr>
<tr>
<td></td>
<td>0.39%</td>
<td>For example, we didn't get a single call from a parent complaining that the daily routines of the students were interrupted.</td>
</tr>
<tr>
<td></td>
<td>0.59%</td>
<td>The finger pointing never really took off.</td>
</tr>
<tr>
<td>Polk Central - Epstein, Cliff: §</td>
<td>1.84%</td>
<td>The only one that I can think of specifically that I would consider a hurdle is just continuing with each day and making it an academic day. Instead of &quot;hey, its gossip day in the building,&quot; where nothing is going on curricular wise and it just turns into, “hey, did you hear about this.”</td>
</tr>
<tr>
<td></td>
<td>1.20%</td>
<td>I think once you got past that each day, and we got back into the curricular zone. I remember me personally thinking; well we got past that part of it.</td>
</tr>
<tr>
<td>Polk Central - Mitchell, Pete: §</td>
<td>1.41%</td>
<td>Now there are some things you just can’t control, but I don't recall anyone that was quoted that should not have been quoted.</td>
</tr>
<tr>
<td></td>
<td>0.66%</td>
<td>So sure, there’s a time when I think we can see pieces and roles of it wrapped up but it really depended on what your role was in the situation.</td>
</tr>
</tbody>
</table>

**Kotter, Step 6 - Sergiovanni, Moral Authority**

<table>
<thead>
<tr>
<th>Reference(s) Coded</th>
<th>Coverage</th>
<th>Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>Polk Central - Devitt, Dan: §</td>
<td>2.22%</td>
<td>I thought it would be a lot longer. I thought there would be more disruption to the school day. I thought there would be more issues. I credit how Dr. Thompson structured the operations of the district, specifically creating procedures for Mr. Mitchell, the communications guy because any newspaper or media source was directed to speak with Pete and I didn't have to deal with that.</td>
</tr>
<tr>
<td></td>
<td>1.80%</td>
<td>We also did such an aggressive job of making sure that we were transparent in the process.</td>
</tr>
</tbody>
</table>

**Kotter, Step 6 - Sergiovanni, Professional Authority**

<table>
<thead>
<tr>
<th>Reference(s) Coded</th>
<th>Coverage</th>
<th>Text</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buchanan - Long, Shirley: §</td>
<td>1.84%</td>
<td>There were a number of times when we leaned on each other for morale support and it was never really a celebration but it certainly was a moment to acknowledge what had been accomplished.</td>
</tr>
<tr>
<td>Buchanan - Loomis, Charles: § Reference(s) Coded [1.27% Coverage]</td>
<td></td>
<td></td>
</tr>
<tr>
<td>---------------------------------------------------------------</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>1.27% Coverage</strong></td>
<td>As far as the group goes, reflection is a time to celebrate as well. We know when we dodged a bullet and we’re not afraid to pat each other on the back for it.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Callahan, Lori: § Reference(s) Coded [2.45% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.93% Coverage</strong></td>
</tr>
<tr>
<td><strong>0.58% Coverage</strong></td>
</tr>
<tr>
<td><strong>0.94% Coverage</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Devitt, Dan: § Reference(s) Coded [2.00% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.58% Coverage</strong></td>
</tr>
<tr>
<td><strong>0.66% Coverage</strong></td>
</tr>
<tr>
<td><strong>0.76% Coverage</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Greene, Brian: § Reference(s) Coded [1.93% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.90% Coverage</strong></td>
</tr>
<tr>
<td><strong>1.03% Coverage</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Thompson, Mike: § Reference(s) Coded [0.35% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.35% Coverage</strong></td>
</tr>
</tbody>
</table>

**Kotter, Step 6 - Sergiovanni, Psychological Authority**

<table>
<thead>
<tr>
<th>Buchanan - Loomis, Charles: § Reference(s) Coded [6.55% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>3.37% Coverage</strong></td>
</tr>
<tr>
<td><strong>1.81% Coverage</strong></td>
</tr>
<tr>
<td><strong>1.37% Coverage</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Callahan, Lori: § Reference(s) Coded [3.63% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.48% Coverage</strong></td>
</tr>
<tr>
<td><strong>0.47% Coverage</strong></td>
</tr>
</tbody>
</table>
We not only e-mailed the staff to not only let them know that a situation has happened and how to address students in your classroom who may need to see someone but we also make sure there are certain services available to them and we say that. We never did that before.

And so one of the things I did today was I bought sand buckets with shovel at the dollar store, filled it with goodies, crackers, popcorn, candy bars, whatever and pout a little message that said "thanks for all you do, I know you’re really working hard and this is a very stressful time of the year. Here's a little bucket full of snacks to keep your energy up.

They know I care genuinely about them as people. Um, I always put them first; I always put their families first.

However, as each court date came up, the wounds would be partially reopened for kids who were close to her or the situation but with Dr. Thompson’s help, we really kept the distractions at bay.

Dr. Thompson and I wanted to make sure that we were able to congratulate the teachers for how they handled key pieces of their involvement with the students.

We applauded the leadership efforts to keep things as normal as possible.

I think the staff appreciated the consistency that we tried to provide.

I think they appreciated that occasional “Hey, you guys did a nice job with how you handled that and the teacher was an idiot for even thinking about crossing that line.”

I think that staff feels valued. I'm the third grade teacher at an elementary school at the southern end of the district. This took place at a school that I've never even been too, but the district made sure I had the facts and I didn't have to read about it in the media.

There is no celebration. What exists is a deliberate quiet word between myself and individually with each of the core group members when I'm back in the building or the board president and just to people who you knew were having a particularly hard time. Statements like, “how are you doing? Do you need anything?” The celebration is that your individual relationships and admin member’s relationship with their staff carried us. As Principal, you need to know that I know that. When you talk to those people and I stood with you, the trust I had with you carried us. Thank you. That's it.

As the circle grew larger, we were well aware of the influence of the rumor mill. We were constantly taking a dipstick measurement of the awareness that existed beyond the core group.

I would say that the way we would typically measure how effective our communication is by monitoring responses in a variety of mediums. That may consist of how people are reacting to information in social media. We take a proactive approach to critical or controversial and put that on Facebook, Twitter, YouTube, so that people can get the information.
<table>
<thead>
<tr>
<th>Coverage</th>
<th>Inevitably, when you step into those arenas, you’re going to invite a response. Part of our measurement is monitoring the responses to a message that has been put out there; recognizing that you looking a small slice of the population that is going to respond. But it at least helps us better understand what is the reaction, what is the criticism.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Coverage</td>
<td>As it reached a level of greater media attention, then certainly when they post their own stories, then as we know readers often react to those stories too and you’ll see comments there as well. One of the other ways that we monitor is checking in with those on the front lines to determine what questions and comments they are getting from around the community.</td>
</tr>
<tr>
<td>Coverage</td>
<td>In general, whenever we are able to get out in advance of situations like this it's kind of like a controlled burn. We're not waiting for the fire to spread. We're creating our own fire around it so we can contain it. When we've been able to do that, inevitably the calls and responses, criticism, and questions are a little deflated. That's one of the best ways that we measure. We don't do anything to quantify it but we keep our finger on the pulse.</td>
</tr>
<tr>
<td>Buchanan - Everham, Scott: § Reference(s) Coded [1.14% Coverage]</td>
<td>There was no resistance from any witnesses that were involved. Everyone was very cooperative. It was very smooth and very well run.</td>
</tr>
<tr>
<td>Polk Central - Callahan, Lori: § Reference(s) Coded [1.05% Coverage]</td>
<td>I'd say looking back on it; the things I remember were that we are not showing up on the news anymore. Staff had stopped coming down.</td>
</tr>
<tr>
<td>Polk Central - Mitchell, Pete: § Reference(s) Coded [1.26% Coverage]</td>
<td>Our students, we're seeing less of them. It was discussed amongst my team but I don’t know that we ever paused to note those milestones as small victories.</td>
</tr>
<tr>
<td>Buchanan - Everham, Scott: § Reference(s) Coded [1.14% Coverage]</td>
<td>I'd rather enjoy the slings of arrows saying too much, too much than not enough.</td>
</tr>
<tr>
<td>Buchanan - Everham, Scott: § Reference(s) Coded [1.14% Coverage]</td>
<td>The sheer logistics of the first couple of days was a huge hurdle to clear. And we were able to measure it because reporters and TV trucks stopped showing up.</td>
</tr>
</tbody>
</table>
APPENDIX M

STEP 7 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST SERGIOVANNI’S SOURCES OF AUTHORITY
### Kotter, Step 7 - Sergiovanni, Bureaucratic Authority

<table>
<thead>
<tr>
<th>Polk Central - Callahan, Lori: § Reference(s) Coded [1.55% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.65% Coverage</td>
</tr>
<tr>
<td>0.90% Coverage</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Devitt, Dan: § Reference(s) Coded [1.84% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.80% Coverage</td>
</tr>
<tr>
<td>1.04% Coverage</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Epstein, Cliff: § Reference(s) Coded [1.92% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.71% Coverage</td>
</tr>
<tr>
<td>1.21% Coverage</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Greene, Brian: § Reference(s) Coded [0.79% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>0.79% Coverage</td>
</tr>
</tbody>
</table>

### Kotter, Step 7 - Sergiovanni, Moral Authority

<table>
<thead>
<tr>
<th>Buchanan - Barnett, Will: § Reference(s) Coded [2.10% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.20% Coverage</td>
</tr>
<tr>
<td>0.89% Coverage</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Buchanan - Loomis, Charles: § Reference(s) Coded [1.30% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.30% Coverage</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Mitchell, Pete: § Reference(s) Coded [2.68% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.62% Coverage</td>
</tr>
<tr>
<td>1.06% Coverage</td>
</tr>
<tr>
<td>Buchanan - Loomis, Charles: § Reference(s) Coded [2.35% Coverage]</td>
</tr>
<tr>
<td>---------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>2.35% Coverage</strong></td>
</tr>
<tr>
<td>The last thing any organization wants is a chief executive who is bi-polar. Everyone wants somebody who is consistent. They all watch you at the beginning. It's the first couple of crises that come up which set the stage for how they will perceive you for much of your time after those events.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Callahan, Lori: § Reference(s) Coded [4.47% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.27% Coverage</strong></td>
</tr>
<tr>
<td>I think now there is an accountability factor to each other professionally.</td>
</tr>
<tr>
<td><strong>0.70% Coverage</strong></td>
</tr>
<tr>
<td>Um, I think people are cautious when it’s a peer who is going to come in their room, you know mentor or watch somebody next door teach a classroom. You’re getting in their business, so to speak.</td>
</tr>
<tr>
<td><strong>0.52% Coverage</strong></td>
</tr>
<tr>
<td>Unfortunately, we learned a hard lesson that just because you’re professional and an adult in the classroom doesn’t mean you act professionally.</td>
</tr>
<tr>
<td><strong>0.47% Coverage</strong></td>
</tr>
<tr>
<td>So I think we've just started to watch with a little more diligence about each other, accountability to each other and to our kids.</td>
</tr>
<tr>
<td><strong>0.59% Coverage</strong></td>
</tr>
<tr>
<td>I think all of us in our own areas around the building were able to say when we felt the situations were over and some time had passed &quot;we're stronger because of it.&quot;</td>
</tr>
<tr>
<td><strong>0.49% Coverage</strong></td>
</tr>
<tr>
<td>So they kind of had some moments where they needed to process. I have seen that in several of the crisis situations that we have had.</td>
</tr>
<tr>
<td><strong>1.43% Coverage</strong></td>
</tr>
<tr>
<td>Dan did an effective job of saying &quot;you know you've got to do these trainings but we also need to understand how it impacts us. Let's talk a little bit about why it's important to know boundaries with kids.” He took the online training and added the discourse. We never imagined that we would need to have these conversations with adults but they became very important from a scenario standpoint.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Epstein, Cliff: § Reference(s) Coded [0.77% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.77% Coverage</strong></td>
</tr>
<tr>
<td>And this was Mike’s idea. We not only had more module training but we followed it up with discussion groups about what we took away from the modules. I know we never did that before.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Polk Central - Greene, Brian: § Reference(s) Coded [2.40% Coverage]</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>0.51% Coverage</strong></td>
</tr>
<tr>
<td>We would also discuss topics for what we needed to do for Staff Development.</td>
</tr>
<tr>
<td><strong>0.99% Coverage</strong></td>
</tr>
<tr>
<td>I think I want to say three to four months or so afterwards that for the most part we were able to move past it but that class was never the same.</td>
</tr>
<tr>
<td><strong>0.89% Coverage</strong></td>
</tr>
<tr>
<td>Also, the fact that it would pop up because she was going to court or it was on the news. It was like pulling off a scab too early.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Kotter, Step 7 - Sergiovanni, Psychological Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>Buchanan - Barnett, Will: § Reference(s) Coded [1.14% Coverage]</td>
</tr>
<tr>
<td><strong>1.14% Coverage</strong></td>
</tr>
<tr>
<td>There was resolve internally that there was only so much more that we could add to the story that we hadn’t already told. At a point we had to say that the chapter has ended and the book had ended.</td>
</tr>
<tr>
<td>Buchanan - Loomis, Charles: § Reference(s) Coded [2.37% Coverage]</td>
</tr>
<tr>
<td><strong>2.37% Coverage</strong></td>
</tr>
<tr>
<td>Crisis is something that establishes you quite well because people want to come together and see how your metal is being tested in that situation. To your question, establishing consistency is important so that the community recognizes that if you make a mistake that you are willing to admit it.</td>
</tr>
</tbody>
</table>
And I'll say to you that once we got through the staff my team fell apart a little bit. I think the pressure of keeping a straight face and I don't think they had their own time to grieve. Their job was to handle the students and staff so they really kind of put their own feelings on the back burner.

Dr. Thompson had us take the training modules to another level through a discussion at staff meetings and we had some interesting discussions regarding the gray area interpretation of what is appropriate and inappropriate. It was interesting because he led the admin team through this same activity. And this was covered even deeper with new teacher induction because they didn’t live through the scandal itself.

It was mainly my responsibility at this level. Did the higher ups have their own hurdles? Yeah, but I assume they were dealing with the personnel part of it, the media part of it, and the legal part of it.

But for me, the focus was the teachers and the kids. I felt like I needed to step up at that point.

Those protocols that Dr. Thompson created and put into place kept us focused and on path.

I think there is a natural impatience that you have to resist. Impatience is going to land you in a bad spot. You have to let it run its course.

I don't think that we ever stopped along the way and declared that we were successful at a given point. I don't think we ever look at crisis response through that lens. For us, it really is a continuum.

It’s a “here's where we are today, this is what we can communicate today, so let's communicate today” approach to the situation. This is what we think is going to happen in another week to two weeks. Let's cross that bridge when we get to it.

As we investigated this it became clear that some things could be tighter. Questions as to why money was taken home.

Right now I cannot tell you exactly how much money was missing and we'll never know exactly how much money was missing. We will not know whether this employee took the money or whether a relative of this employee took the money.

It's nothing something that we are looking to quantify at this point but I can tell you that we certainly consider qualitative information. At the beginning this data would come to us on daily, if not hourly basis.

Between the superintendent and I, we would make decisions based off of what we know at the time and this may mean waiting to act because we don’t have enough info but we first need to know that we don't have enough info.
Ultimately, we have a standard of what key expectations are. Whether it's student expectation or staff expectations and how far are you deviating from those expectations. If they’re large deviations, then we need to do...almost think of it as least restrictive environment for special ed. If it's working we don't need to do more. If it's not working, we need to add another piece and determine where it's not working to address the situation. I always say it's a deviation from the mean.

In this case, conversations with admin members, counselors and social workers were used as qualitative data. We looked at the number of students who came down, and determined if the conversations changed. Are they feeding off each other? Do we pull back the number of hours in the media center and auditorium?

Over time, we were able to note that no one was coming in to talk about the situation unless she had a new court appearance and that would cause a few students to stop in for support.

We live in an age where people think that everything can and should be measured and that's not necessarily true. Not everything that can be counted counts and not everything that counts can be counted.

Could we have done a survey after we were done, sure we could have, but I didn't.

Also, in a communications world you can't necessarily measure accuracy to what people heard or understood as long as I can be assured that they were given the message.

Within a few days I was not being pulled over as much, called as much, speaking to parents as much...things had ebbed.
APPENDIX N

STEP 8 OF KOTTER’S EIGHT STEPS OF CHANGE CODED AGAINST SERGIOVANNI’S SOURCES OF AUTHORITY
### Kotter, Step 8 - Sergiovanni, Bureaucratic Authority

| Buchanan - Barnett, Will: § Reference(s) Coded [4.01% Coverage] |
|---|---|
| **1.28% Coverage** | I think the other success that we wouldn't have necessarily celebrated but acknowledged was that we became much better at internal controls, when it came to handling money, and financial transactions that involved petty cash. |
| **1.01% Coverage** | In this case, it allowed us to revisit our internal procedures and policies and take a really deep hard look at those and say how can we improve these so it never happens again. |
| **0.93% Coverage** | The best way to answer that question is to point to other similar incidents that we have had before and after and the template, the game plan is almost identical. |
| **0.78% Coverage** | The circumstances are different every time, but when the model remains the same, that says to us that we have found a script that works. |

| Polk Central - Callahan, Lori: § Reference(s) Coded [0.90% Coverage] |
|---|---|
| **0.90% Coverage** | The district took over the staff development as a requirement. We began the sexual harassment, ethical boundaries, and borders and GCN trainings. The district ramped up the trainings we were required to do. That was the immediate response to that. |

| Polk Central - Epstein, Cliff: § Reference(s) Coded [3.54% Coverage] |
|---|---|
| **1.22% Coverage** | So, the district as a whole brought in these tutorials. I think they're called GCN. We actually took nine tutorials. Boundaries, ethics, blood borne pathogens, you name it. Discrimination, sexual harassment. We've taken the stance from in the building that, "Hey, know your boundaries." |
| **1.44% Coverage** | If it did, hey, you're flirting with disaster there or hey, let's educate you real quick on how to engage with a student or hey remember it's been...just because you had the tutorials sometimes you know how those work. You got one playing on the top over here and you just hit the space bar [taps the table]. Are you absorbing what that means? |
| **0.89% Coverage** | We go through leading assemblies every fall based on grade level and there’s a clear understanding on who they can go to for support, between the Student Services Office, meaning Dean Social Worker, and Counselor. |

### Kotter, Step 8 - Sergiovanni, Moral Authority

| Buchanan - Barnett, Will: § Reference(s) Coded [2.99% Coverage] |
|---|---|
| **1.80% Coverage** | So at a certain point in the story, we say here's what we've learned from this, here’s who we can ensure this never happens again. Some people would say that’s spin control. For us, we know that it is genuine. We had learned from the mistake and had changed the internal controls from that ever happening again. |
| **1.19% Coverage** | We are going to follow the same game plan time and time again, realizing the circumstances are going to be different but taking the transparent approach and be as forthright as we can in our decision making. |

| Buchanan - Loomis, Charles: § Reference(s) Coded [1.86% Coverage] |
|---|---|
| **1.86% Coverage** | What we can do in terms of closure is communicate to the community what we did along the way, what the authorities agree to, what the police agree to, and what policies and procedures we change to avoid this occurring in the future. |

### Kotter, Step 8 - Sergiovanni, Professional Authority

| Polk Central - Callahan, Lori: § Reference(s) Coded [2.50% Coverage] |
|---|---|
| **0.34% Coverage** | And that third situation resulted from other teachers who were on guard, so it doesn't go away. |
I think now there is an accountability factor to each other professionally.

Unfortunately, we learned a hard lesson that just because you’re professional and an adult in the classroom doesn’t mean you act professionally.

So I think we’ve just started to watch with a little more diligence about each other, accountability to each other and to our kids.

These are the obvious things that we noticed. I truly believe that some of the recent experiences this building has gone through have made us stronger, closer, and more accountable to each other. It’s really a feeling that I have about all of this.

Because of Dr. Thompson’s team building and role identification expectations of the admin team and the leg work we did as a building to create our vision for leadership, each person knew their role and executed it.

Yeah, for that occurrence, I would say yes. Because I think the staff has learned from it, they’ve educated themselves on it, and we’re still doing very well as a building. We didn’t let it define us.

I never felt like we were victorious or that we completed something. I just felt like I did what I needed to do. There was some pride of moving past it and seeing teachers step up for one another. I do think it brought the whole department closer.

It’s not for me to determine that. First of all, in life it’s beautiful to have closure, put a bow on the package and seal it. It’s my belief that in complex issues, that often the truth is never known and it doesn’t wrap-up that nicely for you.

Dan did an effective job of saying "you know you've got to do these trainings but we also need to understand how it impacts us. Let's talk a little bit about why it's important to know boundaries with kids." He took the online training and added the discourse. We never imagined that we would need to have these conversations with adults but they became very important from a scenario standpoint.

On top of that, Dr. Thompson had us take the training modules to another level through a discussion at staff meetings and we had some interesting discussions regarding the gray area interpretation of what is appropriate and inappropriate. It was interesting because he led the admin team through this same activity. And this was covered even deeper with new teacher induction because they didn’t live through the scandal itself. They weren’t a part of it at the time.

We not only had more module training but we followed it up with discussion groups about what we took away from the modules. I know we never did that before. He led us through it first and said let’s look at the various degrees of what is acceptable and see where each other stands on it. Some interesting discussion came out of it and I think that is sticking more than the modules themselves.
1.31% Coverage | The more years that go by and the more transition you have with staff moving from building to building and district to district, I think the door opens up a little bit more because you don't know what education they've had on the topic because it doesn't get discussed in detail other than the mandatory tutorials.

| Polk Central - Greene, Brian: § Reference(s) Coded [1.71% Coverage] |

0.91% Coverage | This has been the most difficult experience in my career but it's also the biggest opportunity for me to step up and be a true leader.

| Polk Central - Mitchell, Pete: § Reference(s) Coded [0.84% Coverage] |

0.80% Coverage | It was my responsibility in my department; I cared the most about kids in our classes and teachers in the department.

| Buchanan - Long, Shirley: § Reference(s) Coded [2.77% Coverage] |

1.35% Coverage | If anything, the process was extremely loose and it needed to be much tighter to protect everyone. It’s important to tighten protocols.

1.42% Coverage | Because the parents were so involved and knew it was loose. It was an investment on their end and ultimately led to a lot of their speculation.

Kotter, Step 8 - Sergiovanni, Technical-Rational Authority
REFERENCE LIST


Sergiovanni, T. J. (1987). Will we ever have a TRUE profession? *Educational Leadership, 44*(8), 44-51.


VITA

Dale Fisher is originally from Melrose Park, Illinois and graduated from West Leyden High School. After moving to Platteville, Wisconsin, Mr. Fisher earned his Bachelor of Science in Elementary Education (1-9) from the University of Wisconsin-Platteville in May, 1998. Mr. Fisher relocated to Whitefish Bay, Wisconsin, in August of 1998 to teach 7th and 8th grade science in the Whitefish Bay School District. While teaching in Whitefish Bay, he earned a Master of Science in Educational Leadership from Cardinal Stritch University in 2002. Afterward, Mr. Fisher began his administrative career as an assistant principal with Woodland Middle School in Gurnee, Illinois. After two years, Mr. Fisher became the youngest principal in the State of Wisconsin when he accepted the principalship at North Shore Middle School in Hartland, Wisconsin. In 2008, he made the decision to return home to Illinois and was hired to become the principal of Charles J. Caruso Middle School. After serving as the instructional leader for four years, Mr. Fisher was promoted to the Executive Director for Human Resources. Mr. Fisher anticipates receiving his Doctor of Education in Educational Leadership from Loyola University of Chicago in 2014. He plans to continue his career in public school administration.
DISSECRATION COMMITTEE

The dissertation submitted by Dale R. Fisher has been read and approved by the following committee:

Janis Fine, Ph.D., Director
Associate Professor
Loyola University Chicago

Marla Israel, Ed.D.
Associate Professor
Loyola University Chicago

Glenn Schilling, Ph.D.
Superintendent of Schools
Hartland/Lakeside School District