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LOYOLA UNIVERSITY CHICAGO

THE CHALLENGE OF LEADING CHANGE: HOW SOURCES OF  
AUTHORITY AND CHANGE MANAGEMENT MODELS  
INTERSECT TO PROMOTE SCHOOL IMPROVEMENT

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

PROGRAM IN EDUCATIONAL ADMINISTRATION AND SUPERVISION

BY

SAMANTHA J. LAM

CHICAGO, ILLINOIS

MAY 2018

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## DEDICATION

This dissertation is dedicated to my husband, Randolph Lam, and my mother and father, Viki and Richard Rapson. You three are the greatest gifts that I have ever received. I love you.

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## ABSTRACT

A gap in research exists that demonstrates how principals use their authority to make decisions and how that intersects with change management models. The purpose of the study is to examine how one elementary school principal has led change and how teachers perceive the effectiveness of the change. The study seeks to explore principal's and teachers' perceptions of the impact of the change on the school.

Through a bounded, qualitative case study design, the researcher used several techniques to gather data: teacher survey, principal interview, teacher interview, and document analysis. Multiple sources of data were used to adequately shed light on the phenomenon. Using multiple methods will help enable deeper understanding.

The data were analyzed to determine how one principal utilized bureaucratic, psychological, technical-rational, professional, and moral sources of authority for leadership. The researcher then looked at how these sources of authority intersected with common themes in change management models. The researcher examined the data by coding the sources of authority with numbers and the common themes in change management models in color.

## CHAPTER I

### INTRODUCTION

Our principals today, I think, are absolutely CEOs. They have to manage people. They have to be first and foremost instructional leaders. They have to manage multi-million dollar budgets. They have to manage facilities. They have to work with the community. The demands and the stresses on principals have never been greater. (Duncan, 2009, para. 15-16)

Various factors have played a critical role in school reform over the past three decades. These include the report titled, *A Nation at Risk*, the No Child Left Behind Act of 2001 (NCLB), the Common Core State Standards (CCSS), and the Every Student Succeeds Act (ESSA). These have all put a tremendous amount of pressure on school principals to produce high test scores and maximize learning outcomes for students. “With this ever-present accountability, some principals have to make dramatic changes in organizational structures, school culture, curriculum, instruction, assessment, and expectations” (Taylor & La Cava, 2011, p. 225). Highlighting the unintended consequences of these reform acts is important in order to shed light on the challenges that principals have faced in the last 30 years.

Major school reform agendas have neglected to include school leadership until a decade ago. One of the components of *A Nation at Risk* focused solely on teachers. This report revealed that teachers were not qualified to teach their respective subjects, poorly

trained, and not utilizing best practices. At no point in the report did principal leadership get brought up as being one of the reasons that educational disparities exist. NCLB, the CCSS, and the ESSA all focus on local, state, and federal legislation, teaching duties, and student outcomes. Again, principal leadership is not a focus of any of these reform acts. Although school reformers identified school leadership as being important, they expressed trepidation about how to proceed.

Research shows that principals play a significant role in student achievement outcomes and teacher outcomes (Peck, Reitzug, & West, 2013; Streshley & Gray, 2008; Waters, Marzano, & McNulty, 2004). Principal development is now at the forefront of school improvement efforts. The Wallace Foundation (2010) conducted a survey that ranked school reform efforts. Although teacher quality ranked first, principal leadership fell second in line. The notion of investing in principal development is critical if schools are expected to meet such high expectations that reform efforts have produced.

Today, in a rapidly changing era of standards-based reform and accountability, a different conception has emerged – one closer to the model suggested by Jim Collins' 2001 *Good to Great*, which draws lessons from contemporary corporate life to suggest leadership that focuses with great clarity on what is essential, what needs to be done and how to get it done. (Wallace Foundation, 2013)

Now that there is a greater focus on principal leadership, more data exists that tells a story of an overworked principal facing tougher accountability standards.

Michael Fullan's (1996), *What's Worth Fighting for in the Principalship*, highlighted a study conducted on 137 principals. The study showed that 90% of

principals saw an increase in work over the previous five years. They also noted more demands placed on their time and responsibilities. Due to this increase, principals expressed that they felt much less effective. The effects of school reform have put the spotlight on the need for effective principals who can produce long lasting, successful change that promotes improved student outcomes. Fullan (2007) asserted that there is no such thing as a school that is improving unless there is a principal who is good at leading improvement. Effective principals can improve student achievement by understanding the technicalities of education and how and when to differentiate their leadership practices (Waters et al., 2003). This includes how to utilize their authority to make sound decisions. With principals having to making important decisions on a regular basis, it is worthwhile to examine how they use their authority to make these decisions. There is also value in noting how their decision making intersects with various change management models. In order to do this, it is imperative to look back at the history of schooling in America, a shift to student-centered learning, the effects that school reform has placed on principals, and the ways in which principals go about leading change.

### **The Factory Model of Schooling**

The history of formal schooling in America dates back to the inception of the United States. During this time, the majority of children did not attend school (Christensen, 2011). Although most children did not attend school, the thought of education inspired politicians to create movements toward formalizing schooling. Thomas Jefferson attempted to rally fellow Virginians around the idea of providing basic education to children so they could participate in democracy (Christensen, 2011). Not

only would schools prepare the youth of America to be educated and responsible citizens, but it would also establish an elite set of individuals who would take charge in leading the country one day. In order to ensure that society would remain tolerable, orderly, and safe, one class would utilize education to civilize another class (Katz, 1971). This idea of only certain students being elite and the rest only receiving basic education was one factor that set the stage for the 19<sup>th</sup> century “Factory Model” of schools (Carpenter, 2013; Neem, 2013).

Industrial Germany was on the rise and America needed to respond to this perceived threat. Their answer was simple—schools should prepare students for vocations (Christensen, 2011). Preparing young people for factory jobs that prepared them to perform simple tasks was the goal of public education (Leland & Kasten, 2002). If schools prepared students for life in the factories, then America would be on par to stand side-by-side with Germany as an industrial powerhouse.

Educators were turned on by the efficiency of the factories which led them to turn to this scientific approach to increase productivity in their schools (Eisner, 1994; Serafini, 2002; Tyack, 1974). The systemization of schools was inspired by the division of labor in the factory, the punctuality of the railroad, and the chain of command and coordination in modern businesses (Tyack, 1974). Educators studied factories taking careful note of their systems and structures, hierarchies, supervision techniques, and division of labor (Leland & Kasten, 2002). They believed that it was possible to replicate the success of this industrial model in the education world (Katz, 1971).



With the adoption of the factory model, education transformed from being personalized, in a one-room school setting, to being standardized by age and grade level (Christensen, 2011; Leland & Kasten, 2002). David Tyack and Larry Cuban (1995) note that this method of standardization allowed for the teacher to teach one particular curriculum in one way to the same group of students within the constraints of a given window of time. Reformers believed that schools that structured their classrooms by grade level produced massive increases in educational efficiency, and effectiveness, and their blueprints featured carefully designed sequences of schools of which a high school formed the apex (Katz, 1971). The factory model of education viewed the student as a product. Like an item that is fresh off the assembly line, children would be put through the education factory and the output would be a citizen who is ready for the industrial workforce in the 1900s (Serafini, 2002).

### **Student-Centered Learning**

Principals are becoming more cognizant of the fact that classrooms must be centered around the diverse needs of all students. They are asking themselves if they are truly addressing how today's students learn. In the last three decades increasing numbers of cognitive psychologists and neuroscientists have acknowledged that people learn differently from one another (Christensen, 2011). Howard Gardner (2006) recognized this in the 1980s when he created his "theories of multiple intelligences." He showed that people learn different and exhibit different strengths. He identified eight intelligences: linguistic, logical-mathematical, spatial, bodily-kinesthetic, musical, interpersonal, intrapersonal, and naturalist. These multiple intelligences are important to teaching and

learning because, “When an educational approach is well aligned with one’s stronger intelligences or aptitudes, understanding can come more easily and with greater enthusiasm” (Christensen, 2011, p. 27).

In addition to Gardner’s Multiple Intelligences, John Dewey was a proponent of student-centered classrooms. He felt that standardizing education for children was completely inappropriate (Bracey, 2002).

It is a change, a revolution, not unlike that introduced by Copernicus when the astronomical center shifted from the earth to the sun. In this case the child becomes the sun about which the appliances of education revolve; he is the center about which they are organized. (Curti, 1961, p. 99)

According to Dewey, the purpose of education should not revolve around the attainment of a pre-determined set of skills, but rather the realization of one’s full potential and translating that to promote the betterment of society.

Some principals are beginning to lead change in their schools in order to break free from the factory model where all students receive standardized instruction. They are switching to a more student-centered approach to teaching (Arney, 2105; Christensen, 2011; Horn & Staker, 2015; Stein & Graham, 2014; Tucker, 2012). This approach emphasizes that the focus should be on the students as opposed to the teacher. Teachers do this through active learning, in which student solve problems, answer questions, formulate questions of their own, discuss, explain, debate, or brainstorm during class (Felder, 1996). Students are now able to enjoy freedom and control over their learning as opposed to passively receiving information from their teacher (Tucker, 2012). Leo Jones

(2007) highlights many benefits of student-centered learning in his book, *The Student-Centered Classroom*.

A student-centered classroom isn't a place where the students decide what they want to learn and what they want to do. It's a place where we consider the needs of the students, as a group and as individuals, and encourage them to participate in the learning process all the time. The teacher's role is more that of a facilitator than instructor; the students are active participants in the learning process. (p. 2)

Principals everywhere are encouraged by the aforementioned benefits and are utilizing whole school design approaches to ensure that their schools are student-centered.

### **The Challenge of Leading Change**

As more pressure is put on the shoulders of principals to produce results in their schools they are having to be agents of change. Changes in curriculum, staffing, scheduling, resource allocation, etc. are all ways in which principals are reframing their organizations to improve student outcomes. Various change management models provide insight as to how principals can elicit change in their schools to promote school improvement. Linear, step-by-step guides, as well as non-linear frameworks that aim to provide deeper understanding of leadership can be used in isolation or in conjunction with one another to empower principals to lead change.

### **Purpose of the Study**

The purpose of the study is to examine how one elementary school principal has led change and how teachers perceive the effectiveness of the change. The researcher will utilize Sergiovanni's (1992) five sources of authority to analyze how principals make

decisions and how this intersects with various change management models. Sergiovanni's sources of authority and change management models will be explained in detail in a later section. This research will help principals be mindful of how they can strategically utilize the power they have to make decisions in conjunction with effective practices to lead change in their school.

### **Research Questions**

The proposed research questions of this qualitative case study will highlight how one elementary school principal leads change. The main question that will drive this study is:

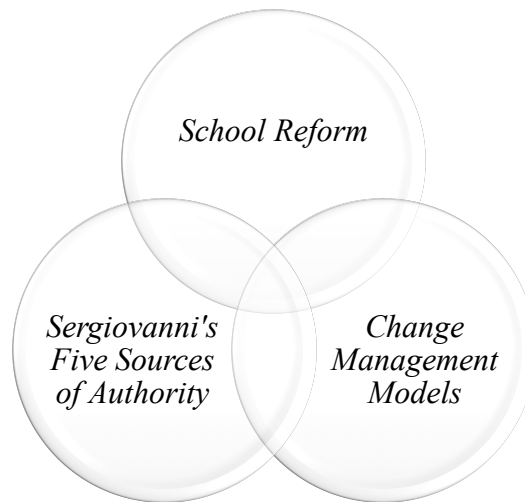
- How does one elementary school principal lead change by using Sergiovanni's five sources of authority and effective change management models?

Additional sub-questions that support the main question include:

- What are the principal's and teachers' perceptions of the impact of the change on the school?
- What sources of authority and change management models does the principal use to lead change in their school?
- Which sources of authority and change management models are used most and why?

### **Significance of the Study**

This study is significant because it provides an understanding of how one principal has utilized sources of authority and change management models to lead change and produce increased student outcomes. As school reform continues to put pressure on principals, they must find ways to improve teaching and learning in their schools in order to meet federal, state, and district mandates. This study provides an understanding of ways in which principals can utilize their sources of authority in conjunction with effective change management practices to create change that leads to improved outcomes. Figure 1 shows how this study seeks to find the intersectionality of school reform efforts, Sergiovanni's (1992) Five Sources of Authority, and change management models.



*Figure 1. Significance of the Study*

### **Overview of the Study**

The purpose of the study is to examine how one elementary school principal has led change by using Sergiovanni's (1992) Five Sources of Authority as well as effective

change management models. The proposed methodology of this survey will be a bounded, qualitative case study. A case study is being used because the researcher is seeking to address descriptive and explanatory questions (Yin, 2011). The study is bounded because the research focuses on one elementary principal during the period of time of the 2015-2016 school year.

The researcher will interview the principal and also interview three teachers to determine how one elementary school principal used sources of authority to lead change as well as effective change management models. Sharan B. Merriam (2009) states that the best way to get quality data is by asking good questions during an interview. To ensure that the questions being asked would lead to sound data, the interview was piloted with several of the researcher's administrative colleagues in the winter of 2016. Respondents participated in mock interviews and gave the researcher feedback on the questions. The feedback helped the researcher ask more concise, specific question. The researcher also included a variety of questions based on Michael Patton's (2002) six types of questions to ask. Experience and behavior questions, opinion and values questions, feeling questions, knowledge questions, sensory questions, and background/ demographic questions were all considered when revising the interview questions.

### **Conceptual Framework**

Thomas Sergiovanni's, *Moral Leadership: Getting to The Heart of School Improvement* (1992) presents a theoretical framework that is made up of five sources of authority for school leaders: bureaucratic authority, psychological authority, technical-rational authority, professional authority, and moral authority. Bureaucratic authority is

what most would consider a “top-down” approach to leadership. Psychological Authority is defined by an importance of harmony in regards to congenial relationships. Technical-Rational authority holds true to the notion that research and evidence is valued more than practice. Professional authority values professional knowledge and experience. Lastly, moral authority is built upon the commitment to a sacred covenant that is derived from a shared sense of core values. These authorities are built around assumptions, leadership strategy, and consequences. A leader’s source of authority is central to their theoretical framework.

In addition to the conceptual framework, the researcher will identify how the five sources of authority interact with common themes in change management models.

Various leadership models provide insight as to how principals can elicit change and implement leadership practices in their schools that promote school improvement. Linear change models that utilize step-by-step guides as well as non-linear change models that are comprised of effective leadership practices are resources that principals can use to create rapid, profound, and sustainable change in their schools. Table 1 illustrates how the conceptual framework will intersect with common themes in change management models.

Table1

*Conceptual Framework*

<i>Sources of Authority</i>	<i>Common Themes in Change Management Models</i>								
	Sense of Urgency (coded in the color red)	Empowering Employees (coded in the color yellow)	Early, Short Term Wins (coded in the color blue)	Engaging Key Stakeholders (coded in green)	Scaling & Sustaining (coded in orange)	Embed Change in the Culture (coded in pink)	Creating a Vision Statement (coded in purple)	Communication (coded in black)	Valuing Employees (coded in light green)
1.Bureaucratic									
2.Psychological									
3.Technical-Rational									
4.Professional									
5.Moral									

**Key Terms**

Various terms used throughout this study may be interpreted several ways. The researcher is intentional about the way these terms are used. The definitions of commonly used terms specific to this study are listed below:

***Adequate Yearly Progress (AYP):*** The measure used to determine whether all students, as well as individual subgroups of students, are making progress toward meeting state academic content standards.

***Change Management:*** Change management is a systematic approach to dealing with change both from the perspective of the principal and the individual teachers.

***Change Management Models:*** Specific leadership behaviors to use in a specific environment or situation. These may be step-by-step guides that highlight how to



implement change or models that illustrate effective leadership practices that strive to promote deeper understanding of change.

***Culture:*** Normal and shared values of a group of people.

***Device:*** A piece of hardware such as an iPad, ChromeBook, MacBook, laptop, etc. that allows students to access the Internet and/or log on to EdTech software.

***Differentiated Instruction:*** Instruction that is modified based on the content (what is being taught), the process (how it is taught) and the product (how students demonstrate their learning).

***Educational Software:*** Technology devoted to the development and application of tools (including software, hardware, and processes) intended to support teaching and learning.

***Norms:*** Common ways in which a group acts.

***Personalized Learning:*** A progressive, student-driven instructional model in which students engage in meaningful, authentic, and rigorous challenges that focus on the unique needs and interests of all students.

***School Culture:*** Beliefs, values, perceptions, relationships, attitudes, and rules that influence how a school operates.

***Shared Values:*** Shared goals and concerns that tend to shape group behavior.

***Student-Centered Learning:*** Methods of teaching that shift the focus of instruction from the teacher to the student.

***Teacher Teams:*** Groups of teachers across various grade levels who work together to teach a designated group of students in reading, math, social studies, and science.

***Vision:*** A picture of the future with some implicit or explicit commentary on why people should strive to create that future.

### **Summary**

In summary, this study is important because it will move beyond general leadership theories to examine the intersectionality of sources of authority and change management models. First, the study will reveal how one elementary principal led change by using Sergiovanni's (1992) five sources of authority and effective change management models. Second, the study will disclose the sources of authority the principal uses most as well as which sources are preferred. Lastly, the study will reveal teachers' perceptions of the impact and effectiveness of the change on the school. This research will help principals be mindful of how they can strategically utilize Sergiovanni's sources of authority in conjunction with change management models to lead change in their school.

## CHAPTER II

### LITERATURE REVIEW

The focus of this study is to examine how one elementary school principal has led change by using Sergiovanni's (1992) five sources of authority as well as effective change management models. The purpose of this chapter will be to review relevant literature related to the study of how one principal uses sources of authority to make decisions and how those sources of authority intersect with common themes in change management models. Relevant literature will include the following: impact of school reform, Sergiovanni's five sources of authority, and common themes in change management.

#### **Impact of School Reform**

The role of the principal has changed drastically over the past two decades. Seventy-five percent of principals feel that their job is too complex (Fullan, 2014). Principals are expected to run the day-to-day operations in a smooth manner, manage teachers' and students' health and safety, utilize an innovative approach without upsetting anyone, be the face of school by connecting with the outside community, be responsive to the needs of all stakeholders, answer to the district, and most importantly deliver results to improve student outcomes (Fullan, 2014). Michael A. Copland (2001) describes the principal as a mythical "superprincipal" who is "everything to everyone." By way of metaphor, while the superprincipal of the past leaped tall buildings in a single

bound, the post-No Child Left Behind (NCLB) superprincipal must compel an entire school community to leap that same tall building” (Peck et al., 2013, p. 60). Principals are feeling the pressure to improve their schools in order to provide their students with a 21<sup>st</sup> century education that prepares them for college and the competitive global market that they will live ultimately live in.

*A Nation at Risk*, the No Child Left Behind Act (NCLB), and the Common Core State Standards (CCSS) have been instrumental in shaping school reform. These have all put a tremendous amount of pressure on school principals to produce high test scores and maximize learning outcomes for students. Studying past educational policy debates, implementation approaches, and reform activities provides a basis for understanding current school change efforts as well as how principals can continue to profess further (Cuban, 2010; Hess, 2010; Tyack & Cuban, 1995). Highlighting the challenges that principals have faced in the last 30 years provides a context as to why principals decision making is so critical when leading change with the goal of improving student outcomes. Each area of school reform is illustrated below and includes the effects that each one had on principals.

### **A Nation at Risk**

In 1983 U.S. Secretary of Education Terrel H. Bell assembled the National Commission of Excellence in Education (NCEE) to do an analysis of the current state of education in the United States of America. The study was conducted over 18 months and its goal was to “generate reform of our educational system in fundamental ways and to renew the Nation's commitment to schools and colleges of high quality throughout the

length and breadth of our land” (United States Department of Education, 1983, para. 3). The NCEE (1983) also stated, “...the educational foundations of our society are presently being eroded by a rising tide of mediocrity that threatens our very future as a nation and a people” (para. 1). The report goes as far as to suggest that if a foreign power were to enact such a horrific education system on our country that we would consider it an act of war.

The report concluded that deficiencies in the educational process were to blame for poor educational performance. These processes were broken down further into the following four components: content, expectations, time, and teaching (United States Department of Education, 1983). Deficiencies in the area of “content” were reported to be a dilution and homogenization of secondary school curricula, students failing to complete courses in secondary schools, and the overwhelming number of secondary students who are earning credits in physical education, remedial English and mathematics, and work experience outside of the schools (United States Department of Education, 1983). Deficiencies in “expectations” were found to be a decrease in homework for high school students, a lack of adequate time spent in mathematics and science courses, lack of foreign language instruction required for graduation, minimum competency exams lowering educational standards for all, too few experience teachers and schools involved in writing textbooks, and a decrease in expenditures on textbooks and other instructional materials (United States Department of Education, 1983). The area of “time” showed that American students spend much less time on school work compared to other nations, classroom and homework time is spent ineffectively, and

schools lack the ability to teach students perseverance in regards to spending time on school work and homework (United States Department of Education, 1983). Lastly, the commission found that teacher preparation programs are not attracting top candidates, too many teacher candidates are spending time in methods courses as opposed to subject matter courses, and the average teacher salary is devastatingly low (United States Department of Education, 1983).

The report offered recommendations to increase educational performance. These recommendations were based on content, standards and expectations, time, teaching, leadership, and fiscal support. Some of their thoughts included: graduation requirements be strengthened, more rigorous standards and higher expectations should be adopted, college admission requirements should be raised, more effective use of time during the school day, improve teacher preparation programs, make teaching a more rewarding and enjoyable profession, and citizens across the nation hold educators and elected officials responsible for providing the leadership necessary to achieve these reforms, and that citizens provide the fiscal support and stability required to bring about the reforms proposed in the report (United States Department of Education, 1983).

This report was widely circulated and had a strong influence on politicians and other policy makers (Education Week, 2013). States across the country felt a failed sense of urgency. This failed sense of urgency led them to act swiftly to implement the recommendations without actually devising an implementation plan that was right for their schools. Unfortunately, their panicked actions did not lead to increased outcomes for students. In *Organizational Behavior in Education: Leadership and School Reform*,

Robert Owens and Thomas Valesky (2014) highlight how several things went awry in executing this reform. “The lack of success was due to the fact that the top down reform efforts failed to consider ‘altering the central core of assumptions and structures... of schools’” (p. 220).

### **No Child Left Behind**

*A Nation at Risk* established the desire for politicians and policy makers to reform the American education system to produce better student outcomes. This report was a precursor to the No Child Left Behind Act of 2001 (NCLB). This reform act arose from growing concerns that public schools were not preparing students for the 21<sup>st</sup> century. In addition to this there was a rise in the achievement gap between white students and students of color. This led to parents seeking alternative schooling options such as charter schools. The goal of this act was multifaceted.

Improving achievement of disadvantaged students, recruitment and training of teachers and principals, language instruction for limited English proficient students, funding for federally impacted areas, reading first and literacy programs, and dropout prevention are among the issues addresses in the legislation. (Jones, 2009, p. 2)

Reformers believed that if the aforementioned issues were addressed, there would be improved student outcomes for all children. This act required the states to develop their own accountability measures in literacy, math, and science. It was believed that if transparency reigned supreme and detailed school performance data such as “high-stakes” test data was publicized, it would improve the focus and productivity of schools

(Dee & Jacob, 2009). Many would argue that these high stakes predicaments are hindering school performance as opposed to producing student gains. Critics such as Sharon Nichols and David Berliner (2007) feel that accountability based on high stakes tests has unintended, severe consequences on children's cognitive development. This occurs because the sole focus of educators shifts from instruction in all subject areas to instruction in only those subjects that are tested. Not only do they strictly teach subjects that are tested, but their focus is on a narrow set of topics within those subjects (Koretz, 2008; Rothstein, Jacobsen, & Wilder, 2008).

Groups such as the Northwest Evaluation Association (NWEA) and the Center on Educational Policy have reported the nation's schools have made some progress since the implementation of NCLB in 2001. NWEA noted that math and reading scores have improved for students who participate in state mandated tests as opposed to students who do not (Cronin, Kingsbury, McCall, & Bowe, 2005). The Center on Educational Policy has found that students who reside in states that have ample achievement data since the enactment of NCLB have increased their reading and math scores thus narrowing the achievement gap (Center of Educational Policy, 2008).

Although these studies show that some positive gains have been made since NCLB went into effect, other studies have taken a less optimistic view of these achievement gains. For example, Fuller, Wright, Gesicki, and Kang (2007) are critical of relying on trends in state assessments. They feel that they are misleading because states have the authority to adjust their assessment systems over time and implement their own accountability standards.



...the 2001 No Child Left Behind Act (NCLB) requires states to move all children to the proficient level in reading and math by the year 2014. However, NCLB gives each state leeway to define proficiency for itself. So 50 states have 50 separate definitions for proficiency in a particular subject, in a particular grade. This variability among the states has led to much confusion about what proficiency actually means. (Hull, 2008, n.p.)

The importance of effective principal leadership to improve student achievement has been vital since NCLB was enacted (Peck et al., 2013; Mayer & LeChasseur, n.d.; Taylor & La Cava, 2011). Principals across the country have felt the pressure of increased demands and the expectation of making Adequate Yearly Progress (AYP). Extensive NCLB demands places on school administrators have caused them to focus on making AYP as opposed to what is best for student success (Gosnell-Lamb, O'Reilly, & Matt, 2013). A group of principals were surveyed in 2002 and again in 2011. They were asked how they prioritize their time. In 2002 principals stated their focus was leadership activities that promote excellence through teacher support. When surveyed again in 2011 they indicated their focus was now on management issues primarily related to NCLB standards compliance. There has been a shift since 2002 as principals are no longer focused on being instructional leaders and are instead focusing more on managerial tasks and other demands on NCLB (Gosnell-Lamb et al., 2013).

In addition to a change in how principals prioritize their time they also indicated several other negative impacts due to NCLB. Principals whose schools made AYP were asked open ended-questions about how NCLB has affected them and their schools. The

data indicated three key findings: (a) more curriculum needs to be covered to teach the content that is on the test as opposed to teaching less content, but teaching it more in depth; (b) a great deal of time and money is being spent on training administration, teachers, and other key school personnel to analyze student data which is taking away from the mission of educating and meeting the needs of all students; (c) student achievement is inadequately assessed and determines the success of the school, principal, and the teachers (Gosnell-Lamb et al., 2013).

Principals whose schools had not made AYP for the previous five years were also surveyed. Their open-ended survey results indicated the following: (a) social studies, science, writing, and history were negatively impacted by NCLB; (b) there is a need to deal with faculty and staff stress around the pressure to perform in a high-stakes testing environment; (c) in order to meet the requirements of NCLB, principals must support teachers in accelerating the curriculum, thus creating a weak form of summative assessment (Gosnell-Lamb et al., 2013).

Regardless of progress that has been made since the implementation in 2002, it is clear that NCLB has had unintended consequences regarding the pressure of high-stakes testing accountability. Teachers and principals are dealing with stress due to accountability testing, teachers are feeling the need to cover more content and less in depth, and schools are veering away from their mission to educate all students.

### **Common Core State Standards**

Education reforms initiated by the NCLB Act of 2001 have inspired a revolution towards national standards being implemented throughout the country. The Common

Core State Standards (CCSS) are a set of research-based standards that were created in 2009 and have been voluntarily adopted by 42 states, the District of Columbia, four territories, and the Department of Defense Education Activity (Common Core State Standards Initiative, 2010).

The CCSS were created primarily by the Council of Chief State School Officers and the National Governors Association. State leaders, educational experts, administrators, teachers, and parents were also involved in creating the K-12 common core standards for English-language arts and mathematics (Paine & Schleicher, 2011). “The standards were created to ensure that all students graduate from high school with the skills and knowledge necessary to succeed in college, career, and life, regardless of where they live” (Common Core State Standards Initiative, 2010). State and local governments were left with the responsibility of overseeing how the standards are taught, how curriculum is developed, and what materials would be used to support teachers as they strive to implement the standards.

“The concerns about the new common core standards are so politicized that both sides of the political spectrum are building arguments against their use as well as different stakeholders within the educational family, specifically, parents, teachers, and administrators” (VanTassel-Baska, 2015, p. 60). Those who are in favor of the standards argue that: (a) the CCSS correlate well with 21st-century requirements for world learning and testing; (b) the CCSS emphasize the knowledge and skills necessary for college and career readiness; (c) the CCSS provide a common base for learning at the national level (Applebee, 2013; VanTassel-Baska, 2015). Because of the immense amount that students

need to know and be able to do based on the standards, they can be considered well organized and well sequenced in order to provide clear pathways to differentiated learning for all students. In addition to clear pathways for students, clear pathways for teachers' professional development has the potential for increasing collaboration. Because every state is no longer operating under a different set of standards, professional development and materials can be designed by content experts to benefit a much larger group (Liebtag, 2013).

On the other hand, there are several arguments that oppose the CCSS: (a) the standards represent a federal takeover of education that will lead to a national curriculum that is totally standardized; (b) teachers and schools lack the capacity to implement these new standards effectively; (c) the new assessments are too difficult, do not focus on content, and require technology; (d) in English Language Arts (ELA) students will be less exposed to great literature because of the emphasis on non-fiction and students will not learn sufficiently the operations of math while focusing too much attention on the processes that undergird problem solving; (e) a separate emphasis on foundational skills (Applebee, 2013; VanTassel-Baska, 2015). Although the implementation of the CCSS is intended to raise the bar for what is expected of current and future teachers, it will require deep understanding and knowledge that cannot be accomplished through quick hit training (Gewertz, 2013).

### **Every Student Succeeds Act**

President Barack Obama signed the Every Student Succeeds Act (ESSA) on December 10, 2015. Beginning the 2017-2018 school year, the ESSA will alter much of

the federal government's authority in education policy (Civic Impulse, 2017). It will be giving flexibility to states in making decisions they see fit. This is a big change from the NCLB act which ESSA replaced and updated. In order to ensure success for all students the ESSA will (Civic Impulse, 2017):

- Advance equity by upholding critical protections for America's disadvantaged and high-need students.
- Require—for the first time—that all students in America be taught to high academic standards that will prepare them to succeed in college and careers.
- Ensure that vital information is provided to educators, families, students, and communities through annual statewide assessments that measure students' progress toward those high standards.
- Help to support and grow local innovations—including evidence-based and place-based interventions developed by local leaders and educators—consistent with our Investing in Innovation and Promise Neighborhoods.
- Sustain and expand the Obama administration's historic investments in increasing access to high-quality preschool.
- Maintain an expectation that there will be accountability and action to effect positive change in our lowest-performing schools, where groups of students are not making progress, and where graduation rates are low over extended periods of time.

Figure 2 compares and contrasts the NCLB act and the ESSA. The ESSA addresses more educational priorities than NCLB did.

THE BIPARTISAN BILL TO FIX NO CHILD LEFT BEHIND,  
EVERY STUDENT SUCCEEDS ACT, INCORPORATES MANY OF THE

## PRIORITIES THE OBAMA ADMINISTRATION PUT FORWARD:

	NO CHILD LEFT BEHIND	OBAMA ADMINISTRATION POLICIES/PROPOSALS	BIPARTISAN BILL
College- and Career- Ready Standards		✓	✓
Annual Statewide Assessments of All Students' Learning	✓	✓	✓
Innovative Local Assessment Pilot		✓	✓
Student Performance Targets and School Ratings	✗ Unrealistic and set by federal government based on tests alone	✓ State driven and based on multiple measures	✓ State driven and based on multiple measures
Accountability, Interventions, and Supports for Struggling Schools	✗ One-size-fits-all federal identification and interventions	✓ State developed identification and intervention with support for bottom 5% of schools, schools where subgroups are falling behind, and high schools with high dropout rates.  Dedicated funding for lowest-performing schools	✓ State developed identification and intervention with support for bottom 5% of schools, schools where subgroups are falling behind, and high schools with high dropout rates.  Dedicated funding for lowest-performing schools
Teacher and Leader Evaluation and Support Systems Including Student Learning and Observations		✓	
Competitive Program to Evaluate and Reward Effective Educators (Based on Student Learning) in High-Need Schools	✓	✓	✓
Includes Pre-K		✓	✓
Competitive Program for Innovation and Evidence-Building		✓	✓
Competitive Program to Replicate High-Quality Charter Schools		✓	✓
Competitive Program to Encourage Wrap-Around Support Systems for Vulnerable Communities		✓	✓

Source: U.S. Department of Education, 2016.

Figure 2. Every Student Succeeds Act (ESSA)

**Individuals with Disabilities Education Act**

The Individuals with Disabilities Education Act (IDEA) was originally signed into law in 1975 as, P. 94-142, which was otherwise known as the Education for All Handicapped Children Act (Katsiyannis, Mitchell, & Bradley, 2001). States that received money from the federal government were now required to ensure that all students with disabilities were given equal access to education. This act was signed into law due to the fact nearly half of the 8 million disabled children in the United States were not receiving the same quality education that their non-disabled peers were receiving (Bicehouse & Faieta, 2017). Disabled students were separated from their peers and placed in special classrooms. These classrooms lacked the supports needed to effectively instruct the students.

In 1990, the Education for all Handicapped Children's Act became the Individuals with Disabilities Education Act (IDEA). IDEA provided federal funding and support to support states in order to meet the needs of disabled students. This law required all disabled students to be provided with a free and appropriate education (FAPE) that consists of special education instruction designed to meet the needs of the individual students. In order to receive these services, the student's disability must be covered under the law. The IDEA is divided into four parts (Katsiyannis et al., 2001).

- Part A - justification of the law
- Part B - how states obtain federal money, principles that outline how students with disabilities must be educated, procedural safeguards to ensure parents are able to participate in their child's education plan

- Part C - principles for infants and toddlers from birth to age 2
- Part D - provisions that are important to the development of special education in the United States

In 1997 the IDEA was amended to emphasize that states must provide disabled students with the same education as their non-disabled peers. The amendments did this by strengthening the role of the parent by allowing them to have an active role in the development of a child's Individualized Education Plan (IEP), emphasizing the importance of growth in meeting goals, making changes to who is involved in the IEP team, and making changes to the IEP document (Bicehouse & Faieta, 2017).

The Individuals with Disabilities Education Improvement Act was signed into law in 2004. Not only did this law reauthorize the IDEA, it also made very important changes. These changes were made to ensure the improvement of student outcomes of students with disabilities (Yell, Shriner, & Katsiyannis, 2006).

- emphasize the substantive requirements of the special education process
- align IDEA and NCLB's provisions such as adequate yearly progress (AYP), highly qualified teachers, and evidence-based practices
- altering eligibility requirements
- changes to the IEP
- changes to the disciplinary process
- changes to the dispute-resolution system



The effects of NCLB, the CCSS, the ESSA, and the IDEA have changed the dynamics of the job of the principal. Principals have to consider what is right for the entire school community when exerting authority and making decisions.

In today's climate of heightened expectations, principals are in the hot seat to improve teaching and learning. They need to be educational visionaries; instructional and curriculum leaders; assessment experts; disciplinarians; community builders; public relations experts; budget analysts; facility managers; special program administrators; and expert overseers of legal, contractual, and policy mandates and initiatives. (National Association of Secondary Principals, 2013, p. 2)

Higher expectations and less funding has forced principals to figure out how they can do more with less. In pursuit of improving student outcomes to meet state and federal requirements, principals are implementing change initiatives throughout their schools. They are tasked with using their decision-making power and effective change practices to create positive change.

### **Sources of Authority**

One of the most popular way of getting things done in a school is by encouraging others to follow you because it will be worth their while (Sergiovanni, 1992). Another means of persuading others to follow the leader is by encouraging them to follow because the leader has been trained in the research. Sergiovanni would say that these two examples of "follow me" leadership is what we are accustomed to yet does not allow

subordinates to respond from within. In addition, it also requires monitoring afterward to ensure follow up.

‘Follow me’ leadership, in other words, is management-intensive. Skillfully practiced, it often gets people to cooperate, but it cannot inspire the kind of commitment that will make schools work and work well, because it tends to induce a state of subordination among teachers, rather than followership. (p. 31)

Because this type of leadership is so prevalent, it clouds one’s thinking and hinders the leader from understanding the true point of leadership.

Leadership should not simply be based on following the leader because there is something in it for the subordinate or because the leader is knowledgeable about their practice. Instead, leadership should be based on a response from teachers that comes from within, rather than being imposed (Sergiovanni, 1992). In order for this to happen, leaders must be particular about how they exert their authority. Authority can be defined as, “the power that is used to influence how teachers think and what teachers do about teaching and learning” (Sergiovanni & Starratt, 2007, p. 25). Sergiovanni (1992) outlines five sources of authority that authority can be derived from: (a) bureaucratic authority; (b) psychological authority; (c) technical-rational authority; (d) professional authority; (e) moral authority.

Because “follow me” leadership cannot inspire commitment it is critical for leaders to consider why their subordinates should follow them. Their basis for justifying why their subordinates should follow them can be defined as their primary source of authority.

Each of the five is legitimate and should be part of the basis of authority for leadership practice, but it makes a difference which source or combination of sources is primary. Primary authority for today's leadership rests in a combination of bureaucratic, psychological, and technical-rational sources. (Sergiovanni, 1992, p. 32)

Each one of these authorities is distinguished by specific assumptions, implications for practice, and consequences for schools.

### **Bureaucratic Authority**

Principals who make decisions based solely on the fact that they are the boss and they make the rules utilize bureaucratic authority. Sergiovanni (1992) highlights many characteristics that define these types of leaders. These principals use their position as a form of hierarchy. They see themselves at the top and teachers at the bottom. They believe that they know more than their subordinates. If their subordinates do not do as they are told there will be consequences to face. The simplest and most direct way for a principal to get things done in a school is to demand that people follow them because of their position and the system of roles, expectations, and rules that they represent.

Bureaucratic authority can be found in rules, regulations, job descriptions, expectations, and mandates (Sergiovanni, 1992). One way in which the principal enforces mandates and rules is by following up with an inspection to ensure that teachers are compliant. They feel that what is not inspected is not respected. If the teacher has not done what is expected, the principal will give the teacher a consequence. This style of leadership does not build trust as the teacher feels that they are looked down on and their

needs and expertise are not valued. The goal of the principal and the teachers do not align which makes for a contentious, meaningless relationship. Teachers will feel as if they are devalued as professionals and the principal will treat the teacher as nothing more than a technician. Table 2 highlights the characteristics of source, assumptions when use of the source is primary, leadership/supervisory strategies, and consequences.

Table 2

*Bureaucratic Authority for Leadership*

<b>Bureaucratic Authority</b>	
Source	<ul style="list-style-type: none"> <li>• Hierarchy</li> <li>• Rules and Regulations</li> <li>• Mandates</li> <li>• Role Expectation</li> <li>• Teachers comply or face consequences</li> </ul>
Assumptions When use of This Source is Primary	<ul style="list-style-type: none"> <li>• Teachers are subordinates in a hierarchically arranged system.</li> <li>• Supervisors are trustworthy, but subordinates are not.</li> <li>• Goals and interests of teachers and supervisors are not the same, and supervisors must be watchful.</li> <li>• Hierarchy equals expertise, and so supervisors know more than teachers do.</li> <li>• External accountability works best.</li> </ul>
Leadership/Supervisory Strategy	<ul style="list-style-type: none"> <li>• “Expect and inspect” is the overarching rule.</li> <li>• Rely on predetermined standards, to which teachers must measure up.</li> <li>• Identify their needs and “inservice” them.</li> <li>• Directly supervise and closely monitor the work of teachers, to ensure compliance.</li> <li>• Figure out how to motivate them and get them to change.</li> </ul>
Consequences	<ul style="list-style-type: none"> <li>• With proper monitoring, teachers respond as technicians, executing predetermined scripts, and their performance is narrowed.</li> </ul>

Source: Sergiovanni, 1992, p. 36.

Joe Clark, former sergeant in the Army Reserves, became principal of Eastside High School in 1982. Eastside’s demographics comprised of mostly students of color

who were on public assistance. The school was plagued with violence, drugs, and gangs. To combat this issue as a means of promoting whole school change, Clark removed upwards of 300 students in one day without due process.

If tough love is your thing, you can find a lot to love about Joe Clark. Bullhorn cradled in one arm, a stack of books and papers resting in the other, the 48-year-old principal of Eastside High in down-at-the-heels Paterson, N.J. (pop. 140,000), charms and bullies his way through the bustling corridors of his ordered domain like an old-time ward boss, relishing every step. (Bowen, 1988)

Teachers who were not deemed competent were also removed by Clark. He felt that nothing in the building should happen without him and that everything at this school emanated from him.

Michelle Rhee also executed a bureaucratic style when she became chancellor of Washington D.C.'s Public Schools System in June 2007. Her goal of radically changing the school system to promote higher teacher capacity in addition to gains in student achievement scores led to a shutdown of 21 schools—15% of the city's total—and fired more than 100 workers from the district's central office only a year and half after she was hired. She also fired a total of 270 teachers. In addition to this she removed 36 principals, including the head of the elementary school her two daughters attend in an affluent, northwest D.C. neighborhood (Ripley-Washington, 2008). Rhee was quoted as saying,

Have I rubbed some people the wrong way? Definitely. If I changed my style, I might make people a little more comfortable. But I think there's real danger in

acting in a way that makes adults feel better. Because where does that stop?

(Ripley-Washington, 2008, n.p.)

This style of leadership alienated Rhee's opponents and even some of her supporters.

### **Psychological Authority**

Another primary source of authority that principals may use to get others to follow them is psychological authority. If this is a principal's primary source of authority, they strive to develop a climate in their schools that values congeniality among teachers as well as teachers and administration. They request that others follow them because if they do it will be worth their while. Sergiovanni (1992) believes that relying on psychological authority is perhaps the most popular way to get things done in a school. When using this source of authority, principal's want teachers to follow them based on their personality and the positive, reward based environment that they have created. These principals utilize motivation and human resource skills to mold their followers. When rewards are presented, teachers will respond. If there is no reward to motivate teachers, they will not comply as the principal and teachers do not share the same goals.

In order to offer appealing reward that teachers desire, principals who use this as their primary source of authority must be well versed in reading peoples' needs. If they are experts in these human relations skills, they will be able to barter with their teachers. When bartering is successful, compliance increases and teachers are happy. This authority creates a calculated type of environment in which teachers' performance will be limited if they are not being rewarded in ways that they want. Table 3 highlights the

characteristics of source, assumptions when use of the source is primary, leadership/supervisory strategies, and consequences.

Table 3

*Psychological Authority for Leadership*

<b>Psychological Authority</b>	
Source	<ul style="list-style-type: none"> <li>• Motivation Technology</li> <li>• Interpersonal Skills</li> <li>• Human Relations</li> <li>• Leadership</li> <li>• Teachers will want to comply because of the congenial climate and rewards.</li> </ul>
Assumptions When use of This Source is Primary	<ul style="list-style-type: none"> <li>• The goals and interests of teachers and supervisors are not the same but can be bartered so that each side gets what it wants.</li> <li>• Teachers have needs, and if they are met at work, the work gets done as required.</li> <li>• Congenial relationships and a harmonious interpersonal climate make teachers content, easier to work with and more apt to cooperate.</li> <li>• Supervisors must be experts in reading needs and in other people-handling skills, to barter successfully for compliance and increases in performance.</li> </ul>
Leadership/Supervisory Strategy	<ul style="list-style-type: none"> <li>• Develop a school climate characterized by high congeniality among teachers and between teachers and supervisors</li> <li>• “Expect and reward”</li> <li>• “What gets rewarded gets done.”</li> <li>• Use psychological authority in combination with bureaucratic and technical-rational authority.</li> </ul>
Consequences	<ul style="list-style-type: none"> <li>• Teachers respond as required when rewards are available, but not otherwise; their involvement is calculated and performance is narrowed.</li> </ul>

Source: Sergiovanni, 1992, p. 36.

### **Technical-Rational Authority**

Another request for followership may be to follow the principal because they have been trained in research and know it is best based on that training. If this is the case, the principal subscribes to a technical-rational source of authority. Because principals have

shifted their focus to being instructional leaders they are basing their practice on teaching-effectiveness research or school-effectiveness research which calls for them to use technical-rational authority (Sergiovanni, 1992). The expectation is that teachers comply with the principal based on their research, logic, and what is considered to be true.

Like bureaucratic authority, technical-rational authority turns teachers into technicians who need to be monitored. Their instruction is script-like and occurs in the form of predetermined steps. Because of this narrow focus, teachers do not feel that they have the freedom to do what is best for their students. From the perspective of the principal who utilizes this as their primary source, the standardization of teaching is the best way to do things based on the research. Table 4 highlights the characteristics of source, assumptions when use of the source is primary, leadership/supervisory strategies, and consequences.

Prioritizing scientific knowledge, models, and studies over teachers' knowledge is the basis of the Education Science Reform Act of 2002 (Institute of Education Sciences, 2002). This reform act values scientific evidence and evidence that is quantifiable. Because it has been gathered by experts it is considered to be more important than what teachers know and practice. Teachers should comply in light of the expert, research based information presented in this act. Teachers will respond as technicians, executing predetermined steps based on the information presented to them.



Table 4

*Technical-Rational Authority for Leadership*

<b>Technical-Rational Authority</b>	
Source	<ul style="list-style-type: none"> <li>• Evidence defined by logic and scientific research.</li> <li>• Teachers are required to comply in light of what is considered to be the truth.</li> </ul>
Assumptions When use of This Source is Primary	<ul style="list-style-type: none"> <li>• Supervision and teaching are applied sciences.</li> <li>• Knowledge of research is privileged.</li> <li>• Scientific knowledge is superordinate to practice.</li> <li>• Teachers are skilled technicians.</li> <li>• Values, preferences, and beliefs do not count, but facts and objective evidence do.</li> </ul>
Leadership/Supervisory Strategy	<ul style="list-style-type: none"> <li>• Use research, to identify best practice.</li> <li>• Standardize the work of teaching, to reflect the best way.</li> <li>• “Inservice” teachers in the best way.</li> <li>• Monitor the process, to ensure compliance.</li> <li>• Figure out ways to motivate and change them.</li> </ul>
Consequences	<ul style="list-style-type: none"> <li>• With proper monitoring teachers respond as technicians, executing predetermined steps; performance is narrowed.</li> </ul>

Source: Sergiovanni, 1992, p. 37.

Sergiovanni (1992) does not advise using bureaucratic, psychological, or technical-rational authority as a basis for leadership. These sources rely on “follow me” leadership which is management intensive and does not inspire commitment or permit the ability to respond from within. External forces that influence people one way or the other are critical components of “follow me” leadership. In addition, without follow up inspection, the desired outcomes may not come to fruition. The alternative to these three sources of authority are professional and moral authority. Both of these sources of authority create intrinsic motivation in teachers while neither one being management or leadership intensive. Leadership practices should be based on these two sources of authority.

### **Professional Authority**

Principals who utilize professional authority as their primary source of authority value teachers' expertise and their professional knowledge. They believe that through professional development that is based on teachers' needs, teachers' capacity will grow and they will become masters at their crafts. The knowledge gained from teacher training informs instruction but it is not the end all, be all. Teachers respect the principal when they utilize this source of authority because they trust the leader. They respect that the principal values their expertise and the investment in their professional development. Table 5 highlights the characteristics of source, assumptions when use of the source is primary, leadership/supervisory strategies, and consequences.

The National Association of Elementary School Principals (2015) published an article in *Principal* magazine that highlights best practices in action. Zachary Rahn, principal of Ashley Elementary in Denver, Colorado, took on a neighborhood school that was deemed to be failing by the district. The first thing that Rahn did to create change was craft a vision statement that embodied a strong neighborhood school. He knew that creating a vision would not necessarily enable buy-in among teachers so he took his plan one step further. Rahn spent money from a grant to send teachers to schools that exhibited schools with high standards cultures. In addition to this, he also worked with the teachers to create advertisements that highlighted their new rigorous vision statement. These actions by Rahn highlight how he used professional authority to create lasting change. As a result of these actions by the principal, teachers respond to professional norms, their practice now becomes collective, and their performance expands.

Table 5

*Professional Authority for Leadership*

<b>Professional Authority</b>	
Source	<ul style="list-style-type: none"> <li>• Informed craft knowledge and personal expertise.</li> <li>• Teachers respond in light of common socialization, professional values, accepted tenets of practice, and internalized expertise.</li> </ul>
Assumptions When use of This Source is Primary	<ul style="list-style-type: none"> <li>• Situations of practice are idiosyncratic, and no one best way exists.</li> <li>• Scientific knowledge are different, with professional knowledge created in use as teachers practice.</li> <li>• The purpose of scientific knowledge is to inform, not prescribe, practice</li> <li>• Authority cannot be external but comes from the context itself and from within the teacher,</li> <li>• Authority from context comes from training and experience.</li> <li>• Authority from within comes from socialization and internalized values.</li> </ul>
Leadership/Supervisory Strategy	<ul style="list-style-type: none"> <li>• Promote a dialogue among teachers that explicitly states professional values and accepted tenets of practice.</li> <li>• Translate them into professional standards.</li> <li>• Give teachers as much discretion as they want and need.</li> <li>• Require teachers to hold one another accountable for meeting practice standards.</li> <li>• Make assistance, support, and professional development opportunities available.</li> </ul>
Consequences	<ul style="list-style-type: none"> <li>• Teachers respond to professional norms; their practice becomes collective, they require little monitoring, and their performance is expansive.</li> </ul>

Source: Sergiovanni, 1992, p. 38.

Heidi Jacobs (1997) writes in her book, *Mapping the Big Picture: Integrating Curriculum and Assessment K-12*, about how she utilized professional sources of authority in her school. Teachers working together in order to design cohesive teaching plans was important for her. She did this by pairing her teachers together to work on curriculum mapping. She even coined them “curriculum designers” to empower their

work. By making this professional development opportunity available to teachers, their practice has now become collective as they work together to produce curriculum. When teachers are able to work together and coach one another, their professional authority is promoted and respected (Costa, Garmstron, Anderson, & Glickman, 2002).

### **Moral Authority**

The last source of authority that a principal can subscribe to is moral authority. These principals identify and make explicit the values and beliefs that define the center of the school as a community. The shared values of the organization are made clear and are prominent throughout the entire organization. Principals and teachers value what is right and what is good more than what works. The principal and the teachers believe that the school is a professional learning community. Collegiality comes from within and interdependence is morally driven. Table 6 highlights the characteristics of source, assumptions when use of the source is primary, leadership/supervisory strategies, and consequences.

Principal Dewey Hensley's tactics for creating change at J.B. Atkinson Academy for Excellence in Teaching and Learning in Louisville, Kentucky was to create a climate hospitable to education. Atkinson's suspensions were the highest in the state (The Wallace Foundation, 2013). To change this problem Hensley did home visits. He targeted the top 25 student offenders and had conversations with the student and the parents around ways the school could support them. After home visits, Hensley enlisted the support of teams of people to diagnose the children's academic and emotional needs. After observing and collecting data the teams created individual plans for each student

that outlined what supports the children would receive. Hensley demonstrated how using moral sources of authority can lead to positive change by acting on his obligation derived from values, ideas, and beliefs that kids should be in school to learn as opposed to being suspended on a regular basis.

Table 6

*Moral Authority for Leadership*

<b>Moral Authority</b>	
Source	<ul style="list-style-type: none"> <li>• Felt obligation and duties derived from widely shared community values, ideas, and ideals.</li> <li>• Teachers respond to shared commitments and felt interdependence.</li> </ul>
Assumptions When use of This Source is Primary	<ul style="list-style-type: none"> <li>• Schools are professional learning communities.</li> <li>• Communities are defined by their centers of shared values, beliefs, and commitments.</li> <li>• 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.</li> </ul>
Leadership/Supervisory Strategy	<ul style="list-style-type: none"> <li>• Identify and make explicit the values and beliefs that define the center of the school as a community.</li> <li>• Translate them into informal norms that govern behavior.</li> <li>• Promote collegiality as internally felt and morally driven interdependence.</li> <li>• Rely on the ability of community members to respond to duties and obligations.</li> <li>• Rely on the community's informal norms to enforce professional and community values.</li> </ul>
Consequences	<ul style="list-style-type: none"> <li>• Teachers respond to community values for moral reasons; their practice becomes collective, and their performance is expansive and sustained.</li> </ul>

Source: Sergiovanni, 1992, p. 39.

Although a principal may elect to utilize any of the authorities at their discretion, it should be noted that psychological leadership, along with leadership based on bureaucratic authority and technical-rational authority should be used to support

professional and moral authority at these should be the basis for leadership. If a principal were to incorporate all five authorities in this manner the “why” questions would be answered differently.

To begin with the order of the questions would change. We would begin with what to follow; the shared values and beliefs that define us as a community and the ideals that define us as professionals. Then we would ask why; because it is morally right to do so; community and professional memberships are morally understood as duties and obligations. And who should we follow? Ourselves as members and as morally conscious, committed people. (Sergiovanni, 1992, p. 32)

In order to ensure that professional and moral authority are center stage we must direct our efforts to create learning communities in schools and harness the power of professionalism. By doing these two things we can create substitutes for “follow me” leadership that inspire and allow for teachers to make decisions from within.

Sergiovanni’s (1992) five sources of authority will be used as the conceptual framework for this study. The researcher will analyze principal interviews, teacher interviews, teacher surveys, and documents to identify what sources of authority a principal used to make decisions, how that connects to change management models, and how effective the teachers perceived the principal’s actions to be.

### **The Challenge of Leading Change**

One of the most profound ways that education reform has changed is the shift in the importance of focusing on improving school leadership. “In a detailed 2010 survey, school and district administrators, policymakers and others declared principal leadership

among the most pressing matters on a list of issues in public school education” (Wallace Foundation, 2013, p. 5). In *The Principal: Three Keys to Maximizing Impact*, Michael Fullan (2014) highlights how we have put the principal on a pedestal and expect miracles that a mere mortal cannot achieve. He states that principals’ responsibilities have increased tremendously over the past 20 years. They are expected to run a smooth school; manage health, safety, and the build; innovate without upsetting anyone; connect with students and teachers; be responsive to parents and the community, answer to their district; create a climate hospitable to education; shape a vision of academic success for all students; cultivate leadership in others; and manage people and data processes (Fullan, 2014; Wallace Foundation, 2013). One high school principal who was grappling with leading their school and dealing with external forces stated,

I believe my time should be spent working with students and staff. Due to federal [and] state policy, I find myself spending a lot of time revising school improvement plans (completed three in the past eight months and need to complete the fourth in three months), and working with school improvement coaches. I have had four different school improvement coaches in five years, none of whom has had experience or success with our type of school. (Larsen & Hunter, 2014, p. 83)

As increasing pressure is put on the shoulders of principals to produce results in their schools, principals are having to be agents of change.

## **Linear and Non-Linear Change Models**

Various leadership models provide insight as to how principals can elicit change and implement leadership practices in their schools that promote school improvement.

Linear change models that utilize step-by-step guides as well as non-linear change models that are comprised of effective leadership practices are resources that principals can use to create rapid, profound, and sustainable change in their schools.

There is a great deal of step-by-step literature available that focuses on how to create change in your organization. Leaders and experts from the business world, education world, and social sciences have authored thousands of books and articles on what it takes to be a leader and promote positive change that lasts. One of these books is *Influencer* by Joseph Grenny, Kerry Patterson, David Maxfield, Ron McMillan, and Al Switzler (2013). The authors created three steps, or keys to success, to creating lasting change on human behavior. In *Leading Change*, John Kotter (2012) highlights an eight-step process to approaching the complex work of change management. Jody Spiro (2011) also utilizes an eight-step approach in her book, *Leading Change Step-By-Step*. These step-by-step guides can create positive, long lasting change that if followed correctly could impact school improvement efforts for principals.

When using a linear change model, it is critical to follow each step in sequential order. The pressure to produce and the time constraints that put barriers on principals often cause them to skip steps and invent new sequences. Following each step is essential to securing the change you want to see (Spiro, 2011). John Kotter (2012) also argues that following each step is essential in producing lasting change. He notes that all successful



changes go through all eight stages in order, and if one step is skipped it can almost always create problems. These steps create a learnable path that must be followed in sequential order to succeed.

Nonlinear change models are also key to understanding the science of change and implementing successful, effective practices. Michael Fullan has authored numerous books on change management. In *Leading in a Culture of Change*, Fullan (2001) provides insights, strategies, and theories of knowledge and action suited to leadership in complex times through five components that represent independent but mutual reinforcing forces for positive change. He also highlights six secrets to implementing change in his book, *The Six Secrets of Change*. Fullan's (2008) secrets aim to create large-scale reform, are understood as synergistic, and are heavily nuanced. Another means to understanding organizations and implementing change is looking through lenses, such as Lee Bolman and Terrence Deal's (2013) four frame model in the book *Reframing Organizations*. This model allows a leader to utilize four frames to know what they are up against and what they can do about it to enact change. Bolman and Deal provide barriers to change for each strategy and essential strategies to reframing organizational change. Another means of implementing change is through the use of high leverage practices. Paul Bambrick-Santoyo (2012) created seven levers in his book *Leverage Leadership* that answer the central questions of leadership: *What* should an effective leader do, and *how and when* should he or she do it? All of the levers are doable simultaneously and he encourages leaders implement this model based on their needs.

The fact that these change models do not follow step-by-step guides is important to note. These models rely on frameworks as a basis for understanding change and knowing how and when to implement effective leadership practices. Bambrick-Santoyo (2012) notes that you have choice in the order in which you implement this leadership model. Based on the needs on the school, the leader can implement the levers simultaneously and at a speed in which he or she feels comfortable. Fullan (2001) would also argue that leaders should be able to implement change practices simultaneously at their own pace. He offers the idea of these practices working as a checks and balances system to show how they work together. When describing each of his five components of effective change he warns that they should not be viewed as quite so linear and fixed as they seem based on their descriptions. He also highlights the uncertainty of using a step-by-step guide to tame the complexities of change:

It is no doubt clear by now why there can never be a recipe or cookbook for change, now a step-by-step process. Even seemingly sophisticated plans like Kotter's (1996) eight steps, or Hamel's (2000) eight, discussed earlier in this chapter, are suspect if used as the basis for planning. They may be useful to stir one's thinking, but I have argued that it will be more productive to develop one's own mind-set through the five core components of leadership because one is more likely to internalize what makes for effective leadership in complex times. (p. 44-45)

Although Bambrick-Santoyo (2012), Fullan (2001), and Bolman and Deal (2013) place an emphasis on understanding and insight as opposed to using action steps, common themes can be derived from the aforementioned linear and non-linear models of change.

### **Common Themes in Change Management**

In addition to analyzing a principal's primary source of authority when leading change, the researcher will also be looking at what successful practices of change management the principal uses. Linear and non-linear models of change have many commonalities around the successful implementation of change. The researcher will identify which of these common themes underlies the principal's practice. The common themes found in the literature are: (a) sense of urgency; (b) empowering employees; (c) early, short-term wins; (d) engaging key stakeholders; (e) scaling and sustaining; (f) embed change in the culture; (g) creating a vision statement; (h) valuing employees; (i) communication. These themes are in no particular order and can be implemented at any time, in isolation, or in combination.

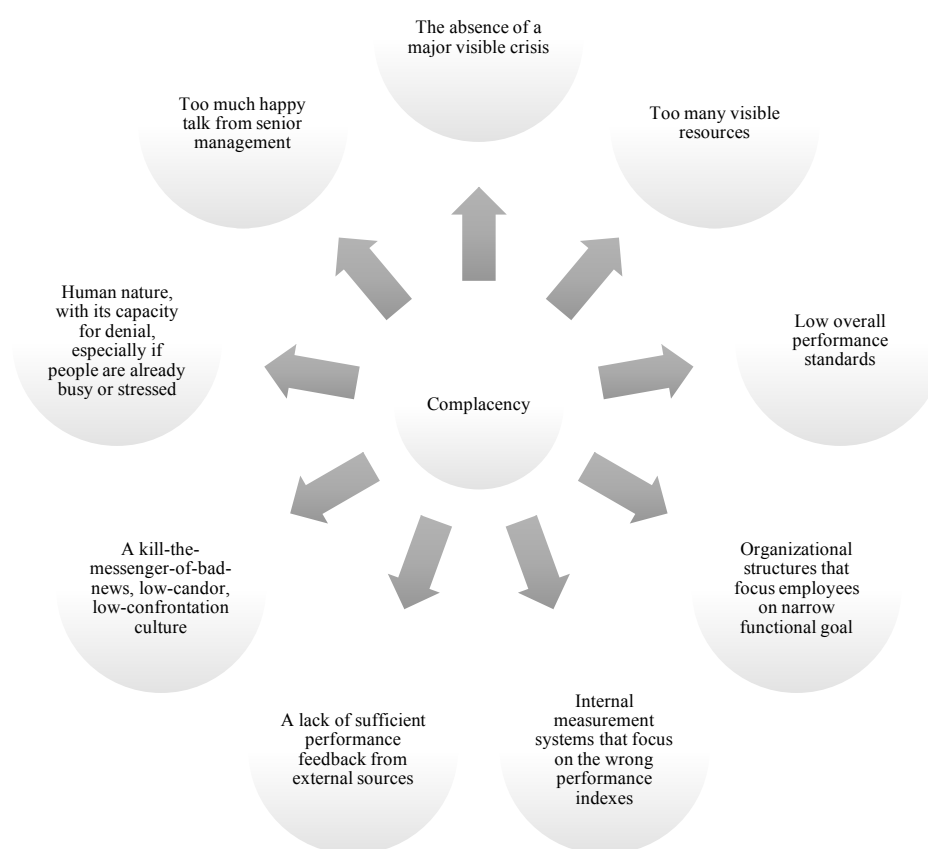
**Sense of urgency.** In order to gain cooperation of the organization it is crucial that the leader is able to establish a sense of urgency. The most important way to do is that to rid the organization of complacency.

With complacency high, transformations usually go nowhere because few people are even interested in working on the change problem. With urgency low, it's difficult to put together a group with enough power and credibility to guide the effort or to convince key individuals to spend the time necessary to create and communicate a change vision. (Kotter, 2012, p. 38)

Complacency has various sources which it may stem from. Figure 3 highlights the nine sources of complacency that a leader must be aware of. Resistance to change is likely to occur due to the comfort of the status quo which is the underlying cause of complacency. When people change they must give up something in order to gain positive change. “It may be that what is lost is ‘only’ the comfort of old habits” (Spiro, 2011, p. 75). Even if the old habits are proven to be counterproductive, they will still be missed unless they are replaced by something better. Research conducted to identify critical leadership behaviors and characteristics of successful elementary school principals found that these principals made it a point to create a sense of urgency to elicit change. One way they did this is by confronting the brutal facts to eliminate complacency (Streshly & Gray, 2008). Principals were fearless in addressing the schools’ shortcomings with the faculty and staff by presenting student achievement data. Even though the teachers seemed to be defeated, the principals soldiered on to communicate with teachers as to how they would work through their challenges to improve

One way a leader can arm themselves with knowledge of complacency levels is by doing a readiness assessment. The principal must identify a starting point when wanting to create change and taking it from there. They should identify where they are; not where they think they are or wish they were. By assessing the readiness of the leader, the readiness of the participants/teachers, and the organizational readiness in terms of culture, the principal can identify areas of complacency that need to be addressed before they can create transformation. Spiro (2011) warns that it is especially important to identify low readiness because the least committed party controls the relationship. “Such

low readiness groups will need more structure and guidance until they experience success and have more confidence in the change process and in themselves as they help carry it out” (p. 27). These readiness assessments are one way for a leader to ensure they are armed with the knowledge necessary to address complacency.



Source: Kotter, 2012, p. 42.

*Figure 3. Nine Sources of Complacency*

In addition to conducting a readiness assessment, there are several other ways to create a sense of urgency. Bolman and Deal (2013) offer various frames that serve a lens in which the principal can ensure they are establishing a sense of urgency. The human

resources frame says you can involve people throughout organizations and solicit their input. By encouraging participation and autonomy, change results can be remarkable. For example, a group of women who painted dolls in a toy factory complained that the room in which they worked was too hot and the hooks moved too fast (Whyte, 1955). The foreman met with the women face to face and after hearing their complaints, made adjustments accordingly. Results were stunning and morale skyrocketed. Production increased beyond the company's expectations. By involving the employees and soliciting their input, the company was able to establish a sense of urgency with the women which ultimately led to transformation.

The political frame suggests the principal should network with key players and use a power base to create a sense of urgency. Working through a network of individuals and groups can be very complex when trying to get things done in an organization (Bolman & Deal, 2013). Kotter (1982) found that leaders that neglected to build networks had a more difficult time enacting change and getting things done.

The symbolic frame suggests you tell a compelling story in order to establish a sense of urgency. By telling stories the employees will know exactly what the company is about, what they believe in, and what needs to be done (Armstrong, 1992). Denning (2005) states that one of the functions of story-telling is to spark action. In order to spark action the story must be emotionally compelling and most importantly, honest. It is crucial to avoid happy talk when story telling (Kotter, 2012). Instead of saying, "Sure, we have challenges, but look at all we've accomplished," it would be wiser to say, "We have

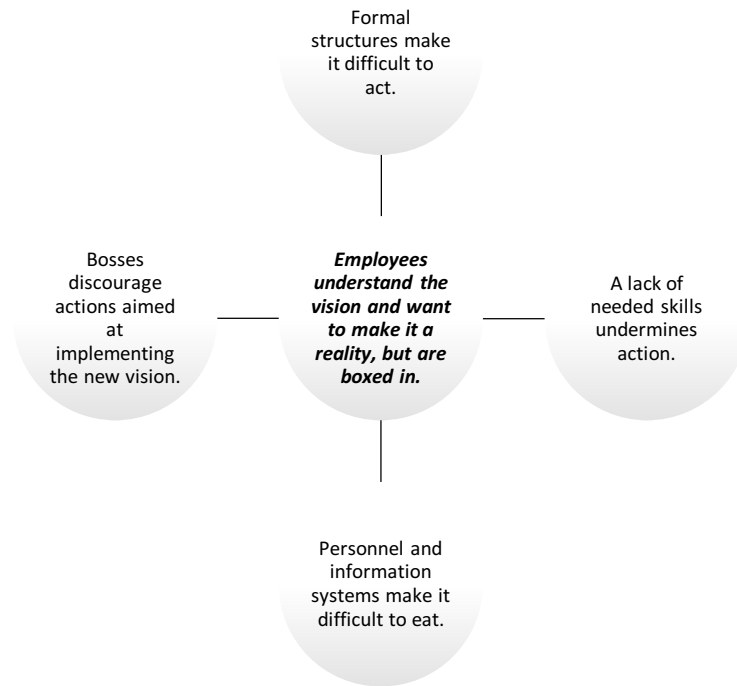
challenges and we are going to face them together in order to increase our accomplishments.”

Michael Fullan (2001) states that one component of effective leadership is moral purpose. Moral purpose is typically accompanied by a sense of urgency.

Leaders in some such cases are in a hurry. If leaders are more sophisticated, they may set up a system of pressure and support, which in the short run will obtain noticeable desired results, but these will mainly be derived from external commitment. (p. 9)

Moral purpose must be accompanied by strategies to implement the change. The strategies that the principal utilizes are leadership actions that energize people and create a sense of urgency in order to reach the desired goal.

**Empowering employees.** Empowering employees is key to successfully implementing change. In order to do this the leader must remove barriers to the implementation of the change vision. The four biggest obstacles that need to be addressed are: structures, skills, systems, and supervisors (Kotter, 2012). Figure 4 highlights these barriers to improvement. Bolman and Deal’s (2013) structural frame embodies removing obstacles and empowering people by removing or altering structures and procedures that support the old ways. The only way this can be remedied is through problem solving and restructuring. If principals can remove barriers they can find an enormous source of power to create transformational change. They have the power to assemble a critical mass of people who can provide the leadership that is needed to elicit change (Kotter, 2012).



Source: Kotter, 2012, p. 106.

*Figure 4.* Barriers to Improvement

The principal should always make sure there are more advantages to disadvantages to the change initiative if they truly want to empower their employees. In order to minimize resistance to change, Spiro (2011) echoes Kotter's sentiment that you must remove barriers. The leader must first consider the people who are affected by the change and identify what they will perceive as benefits and barriers. This is essential to creating action steps that will highlight the benefits and dismantle the drawbacks which is critical to getting people to embrace change. The principal will have the best chance to enact successful change if there is something important in it for everyone.



In addition to removing barriers as a means for empowering employees, the principal can also connect peers with purpose and build teacher capacity as a tool for empowerment. All large-scale education reform efforts face the dilemma of when to focus and tighten up without being too constraining and making people feel suffocated (Bolman & Deal, 2013; Fullan, 2008). People need to feel empowered. To combat this issue the principal should embed strategies that foster continuous and purposeful peer interaction. One principal achieved this by revamping the school's schedule to create grade-alike common conference periods that would allow for teacher teams to work together (Mize, 2016). "The job of leaders is to provide good direction while pursuing its implementation through purposeful peer interaction and learning in relation to results" (Fullan, 2008, p. 12). If the principal can achieve this, they are one their way to empowering their employees.

Powerful, purposeful peer interaction is critical to another means of building capacity through knowledge-creation and knowledge-sharing (Fullan, 2001). Typically, teachers are sent to professional development off site where they gather and create new knowledge regarding their practice. The breakdown happens in the knowledge-sharing phase. When it comes to sharing, transferring, and using the knowledge the organization experiences a breakdown. The principal must be able to create opportunities for teachers to learn from one another.

Building teacher capacity is another means of removing a barrier to empowerment. To accomplish significant improvements, principals must invest in the development of the faculty and staff. According to Fullan (2008), capacity consists of

new competencies, new resources (time, ideas, expertise), and new motivation. The first step to building capacity is to hire those who have potential. Principals should seek people who are talented on their own as well as those who can work in and keep developing cultures of purposeful collaboration. Once the right candidates are hired, it is critical that the leader is cognizant of continuous capacity building as a way to empower their new employees and retain them. Bolman and Deal (2013) also focus on the importance of hiring the right people, investing in them, and keeping in them within their six human resources principles. In addition to these, one of those principles within the human resources frame is titled “empower them.” This principle consists of five specific practices the principal should consider: (a) provide information and support; (b) encourage autonomy and participation; (c) redesign work; (d) foster self-managing teams; (e) promote egalitarianism. These approaches empower employees and give their work more significance.

Unfortunately, not every principal is able to hire their staff and are expected to work with the employees that they have. One study found that principals that were catalysts for change but weak in follow through were not capable of empowering their employees (Mayer & LeChasseur, 2013). Instead of building their capacity and eliminating barriers, these principals focused on eliminating employees they felt were not on board. They stated that if the teachers were not willing to work 110% on the change initiative they needed to go. On the other hand, the same study found that principals who were catalysts for change and persistent in implementing the change focused on relationships with teachers as a means of empowering employees. They made it a point to

engage all staff in decision making, get their feedback, allow them to provide more input, and create more structures around removing these types of barriers.

An additional barrier to change that must be removed can be viewed through the symbolic frame. When change is occurring people often feel a loss of meaning and purpose. They cling to the past because that is what is comfortable. There are three essential strategies that principals can use to eliminate this barrier: (a) create transition rituals; (b) mourn the past; (c) celebrate the future. By creating transition rituals, principals introduce new traditions as a pathway from loss to healing. Mourning the past shows that the principal respects the past and is allowing others the time and energy to say good-bye. Lastly, celebrating the future allows others to move into a meaningful future in a positive, uplifting manner. One first year elementary school principal was cognizant of honoring the past as she conducted her first in-service before the school year started. The principal began her first meeting with a protocol in which teachers identified what they valued from the school's history, and what their hopes and fears might be for the future (Mize, 2016).

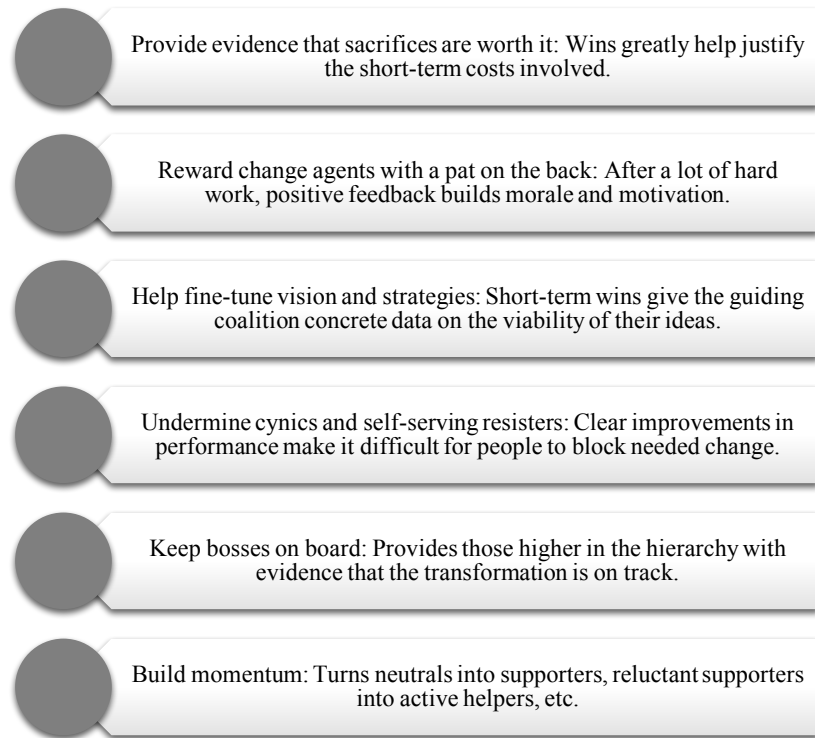
**Early, short-term wins.** Knowing that major change takes time is important. For those who believe in the change initiative they are likely to stay the course throughout the entire initiative. For those who may not be fully invested, they will expect to see evidence that the effort is worth it. In order to ensure successful transformation, the principal must be able to keep all of their employees invested in the change. To do this, they need to pay serious attention to short-term wins (Bolman & Deal, 2013; Kotter, 2012; Spiro, 2011). Looking through the lens of the structural frame principals will need to take into

consideration that effective structures define the organization's circumstances. If the principal is able to create structures that promote early, short-term wins, the organization will benefit. There are three characteristics that define a good short-term win:

1. The win is visible; large numbers of people can see for themselves whether the result is real or just hype.
2. The win is unambiguous; there can be little argument over the call.
3. The win is clearly related to the change effort.

Principals who are able to create their opportunities increase their chances of the transformation being successful in at least six ways. Figure 5 highlights the role of short-term wins. Spiro (2011) states that you have to provide evidence along the way that the work they are putting in to cause change is likely to garner positive results. Short-term wins provide reinforcement that the effort being put in is paying off, their sacrifices are not for naught, and the organization is getting stronger.

Short-term wins do not happen by chance. The principal must plan for these. Often times, principals are in a hurry due to pressure to produce increased student outcomes. Because of this they bite off more than they can chew and are overwhelmed. An effective change leader deliberately plans for these wins in order to demonstrate that the goal is achievable and will result in positive change (Kotter, 2012; Spiro, 2011).



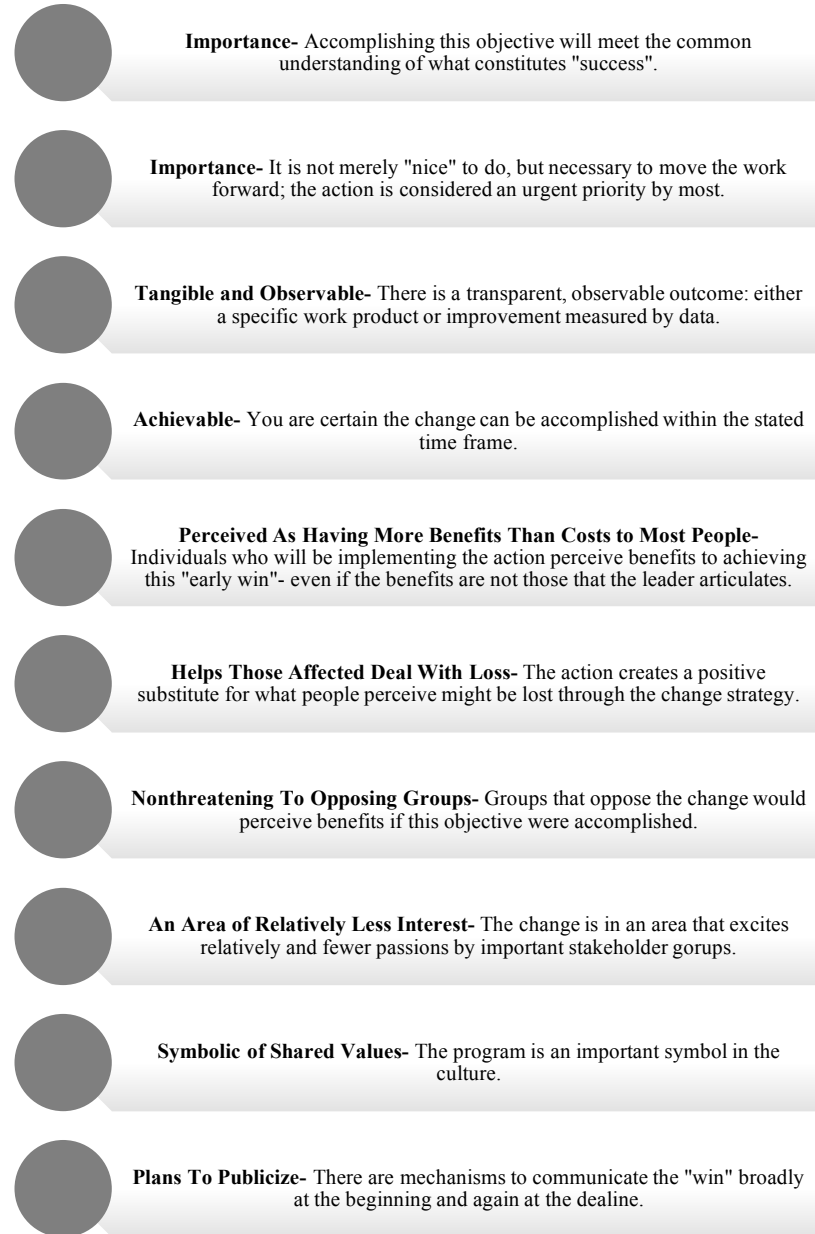
Source: Kotter, 2012, p. 127.

*Figure 5. Role of Short-Term Wins*

One way that leaders can plan for early wins is by utilizing an Early Win Wonder Tool (Spiro, 2011). This tool can be used by a principal and their guiding coalition to determine strategies to secure early wins. The tool should be used for each potential early win strategy. The Early Win Wonder Tool consists of a set of self-reflection questions for the leader, questions regarding the overall change strategy, identifying the small, early win, and a table that asks to identify evidence to support the proposed action meeting all essential characteristics of an effective early win. Figure 6 highlights ten characteristics of an effective, early win. Upon completing each Early Win Wonder Tool, the principal can rank the results based on the various strategies according to each strategy's likelihood

to produce change that will lead to the desired goal. The principal should be careful to analyze the data for any shortcomings so they can plan for how to eliminate the barriers to success. This tool also requires the principal to utilize the political and structural frames to identify how to invest resources and power to ensure early wins. This frame assumes that the most important decisions involve allocating scarce resources-deciding who gets what (Bolman & Deal, 2013). Securing early wins will require the principal to be savvy with the way resources are distributed. The principal also requires principals to confirm that the early win solidifies the organization's shared values and that it is a symbol of the culture. These shared values are what bonds the organization together, therefore it is critical that early wins support the organization's shared values.

**Engaging key stakeholders.** In order for change to be successful, principals must involve people from diverse backgrounds and perspectives. People feel empowered by a broad range of participants because it gives them a sense of control and ownership over the situation that is causing change (Spiro, 2011). Creating a guiding coalition of representatives from the entire school is important to develop buy-in for change. Collaborative planning by a guiding coalition not only improves strategies for change, but it also allows for learning opportunities and capacity building. This is key to eliminating barriers to change. The work done by the guiding coalition can build a culture of learning, risk taking, flexibility, and learning from mistakes that are valued within the school.



Source: Spiro, 2011, p. 96.

*Figure 6.* Ten Characteristics of an Effective, Early Win

Putting together a guiding coalition is instrumental in its success. The principal should determine the membership based on four key characteristics that can be found in Table 7. There should be enough members on the team who have positional power.

Bolman and Deal (2013) state that coalitions need power to accomplish their goals. For example, the principal may want to select a department chair, specialist, or member of the instructional leadership team. There should also be members whose expertise lends itself to the change initiative. For example, if the principal is leading a change initiative to implement a new reading curriculum, it would be wiser to put the reading specialist on the coalition as opposed to the math specialist. In addition to positional power and expertise the members should have credibility and good reputations among their colleagues in order for the organization to trust and believe in the process. “Individuals who are attractive and socially adept- because of charisma, energy, stamina, political smarts, gift of gab, vision, or some other characteristic- are imbued with power independent of other sources” (Bolman & Deal, 2013, p. 197). Lastly, the guiding coalition must have members who have leadership skills. Leaders will be needed to develop a vision, communicate the vision, and empower people.

Table 7

*Engaging Key Stakeholders*

<b>Guiding Coalition</b>	
<b>Characteristic</b>	<b>Guiding Question</b>
Position Power	Are enough key players on board, especially the main line managers, so that those left out cannot easily block progress?
Expertise	Are the various points of view- in terms of discipline, work experience, nationality, etc. – relevant to the task at hand adequately represented so that informed, intelligent decisions will be made?
Credibility	Does the group have enough people with good reputations in the firm so that its pronouncements will be taken seriously by other employees?
Leadership	Does the group include enough proven leaders to be able to drive the change process?

Source: Kotter, 2012, p. 59.



In addition to considering qualities that members should have, principals should also be aware of qualities to avoid (Kotter, 2012). First, they should avoid individuals who have large egos. Those who have large egos do not have a realistic sense of their weaknesses and limitations, cannot appreciate complementary strengths in others, and cannot subjugate their immediate interests to some greater goal. Second, they should also avoid snakes; people who create enough mistrust to kill teamwork. These types of people are experts at damaging trust among team members. They are skilled at creating friction between people in order to undermine their relationships.

Assembling a team that boasts the essential characteristics of an effective guiding coalition is not enough. The principal must also build an effective team based on trust and a common goal (Bolman & Deal, 2013; Kotter, 2012; Spiro, 2011). Table 8 highlights the necessary steps to building a coalition that can make change happen. The structural frame suggests one way to build an effective coalition is to focus on team-building. Without team building catastrophe can occur (Bolman & Deal, 2013). One way that principals can promote team building is to use some form of off-site meetings. The members go somewhere over the course of several days and work together to increase mutual understanding and trust. The principal can bring in outside consultants to facilitate the meetings as a non-objective, third party participant.

A group of elementary school principals in the same school district in Texas decided to implement professional learning communities (PLCs) to create change and improve student achievement (DeMatthews, 2014). Each of the six principals recognized the need to engage key stakeholders to improve teaching practices and school culture.

PLCs can be influential tools for school improvement that require principals and teachers to collaborate and work together.

Table 8

*Building a Coalition That Can Make Change Happen*

<b>Building a Coalition That Can Make Change Happen</b>	
Find the Right People	<ul style="list-style-type: none"> <li>• With strong position power, broad expertise, and high credibility</li> <li>• With leadership and management skills, especially the former</li> </ul>
Create Trust	<ul style="list-style-type: none"> <li>• Through carefully planned off-site events</li> <li>• With lots of talk and joint activities</li> </ul>
Develop a Common Goal	<ul style="list-style-type: none"> <li>• Sensible to the head</li> <li>• Appealing to the heart</li> </ul>

Source: Kotter, 2012, p. 68.

**Scaling and sustaining.** Effective principals know that change is a process not an event. If things do not go smoothly during their first attempt at major change they do not falter. Instead they are empathetic toward their faculty and staff who are going through this anxiety inducing, uneasy work. The fear of change as well as the lack of knowledge to make the change happen often can lead to an implementation dip. Experiencing an implementation dip is not uncommon as schools move forward in the change process (Fullan, 2001). This means there has been a dip in performance and morale due to the change initiative that requires new skills and new understandings. The principal must understand that the implementation dip is normal and that they should not change course because of it.

Once the principal has overcome the implementation dip and has effectively created change, it is essential to scale the change to affect the entire organization as well

as find ways to sustain the change over the course of time (Bolman & Deal, 2013; Fullan, 2001; Kotter, 2012; Spiro, 2011).

*Scale* involves not only ‘breadth’ - that is, widespread adaptation of a program or practice- but also ‘depth’ that is, evidence of penetration and high quality in all programs that result from the change. *Sustainability* involves the long-term staying power of the resulting program or practice. This involves enduring laws, skilled staff, communications, ongoing evaluation and continuous improvement in infrastructure, partnerships, and organizational capacity. (Spiro, 2011, p. 125)

The most enduring impact of scale and sustainability is the change in people’s behavior or organization culture.

Scaling and sustaining require the leader to think long term. Effective, long-term change can take upwards of ten years to take full effect (Kotter, 2012). Principal Reginald Higgins knows that in order to create long lasting change, it will take time. He has been thoughtful around piloting the change vision in one grade and scaling to more grades as time goes on.

Higgins sees full implementation of his vision as taking roughly 10 years, with multiple stages and activities designed to gradually and sequentially build teacher capacity to bring to life ambitious instruction in every classroom. Though the school has only taken initial steps toward this vision, buy-in has grown, and progress is visible. (Grossman & Cawn, 2016)

Like Reginald Higgins, principals must be willing to stay the course and not give up in order to launch all of the change initiatives involved in the grand scheme of the transformation.

The symbolic frame offers a key suggestion to keep going when the going gets tough in order to scale and sustain. This frame advises that the principal should hold revival meetings throughout the change process. These meetings will help to mold the organization's culture. The culture is essentially what unites the organization, unites people, and helps to accomplish the desired goal. By incorporating revival meetings, the principal is creating a ceremony. Ceremonies socialize, stabilize, reassure, and convey messages to the organization. When conducted appropriately they fire imagination, deepen faith, release creativity, and transform meaning in order to scale and sustain change within the organization (Bolman & Deal, 2013).

Another key to scaling and sustaining change is ensuring that everyone is committed to a structural plan. There will eventually have to be structural adaptation in order for change to occur (Bolman & Deal, 2013). Looking through the lens of the structural frame, the organization will increase efficiency and enhance performance through specialization and appropriate division of labor. The principal should spell out positions and roles (vertical coordination) and then identify how people will be grouped into working units (lateral coordination). Looking beyond the individuals to examine the social architecture of the work allows for the opportunity to impart a solid structural plan that allows for the organization to achieve its goals and objectives.

**Embed change in the culture.** In order for change to be successful, transforming the culture, or the way we do things around here, is vital. Fullan (2001) calls this “reculturing.” To experience progress, leaders must be committed to the hard work of reculturing. Deepening moral purpose through collaborative work, respecting differences, and consistently building and testing knowledge is the kind of reculturing that is desired.

Culture is important because it can powerfully influence human behavior. Culture is important for many reasons (Kotter, 2012):

1. Because individuals are selected and indoctrinated so well.
2. Because the culture exerts itself through the actions of hundreds or thousands of people.
3. Because all of this happens without much conscious intent and thus is difficult to challenge or even discuss. (p. 157)

Changing is difficult because it is invisible. If the new practices developed are not in line with the culture, there is a strong possibility there will be regression (Kotter, 2012). Years of change effort can go down the drain if the new approaches have not been embedded into the culture.

Culture can only change after the principal has altered people’s actions, after the change has produced positive benefits for a group of people, and after the organization can see the connection between their new behavior and improvements (Bolman & Deal, 2013; Kotter, 2012). One study showed that principals who attempted to create change by promoting innovation in their schools were successful at embedding change into the culture but allowing their teachers the opportunity to fail (Mayer & LeChasseur, 2013).

The principal recognized that sometimes she knows the teacher is doing something wrong, but they want their teachers to develop and grown by learning from their mistakes. One teacher stated that every time she brings a project to her principal she is given permission because the principal is okay with her failing. The opportunity for teachers to fail and learn from their mistakes is now business as usual at their schools

The symbolic frame is a key element to changing the culture and implementing change (Bolman & Deal, 2013). Mourning the past by means of a ceremony is important to put the old culture in the past and look forward to what is to come. In addition to this, principals should celebrate heroes of the revolution. Not only do heroes carry strong value among their colleagues, they also serve as powerful icons that are looked up to. Lastly, they should share stories of the journey. One of the purposes of story-telling is to lead people into the future. Letting go of the past and focusing on the future is critical in order to embed change into the culture.

If the principal is able to successfully anchor change in a culture it is important to understand one of the possible consequences which is turnover (Bolman & Deal, 2013; Kotter, 2012; Spiro, 2013). Changing a culture requires changing key people. In order to truly embed change in the culture the principal will have to utilize the structural frame to ensure that the right people are in the right positions. This will require vertical coordination by editing the organizational chart. The principal can plan for expected turnover by creating a transition plan and allowing a period of overlap between the changes in positions. Often times the turnover can be caused because the new culture and the new change does not mesh with the employee's core beliefs and values. When

turnover is unexpected the principal can engage a wide variety of stakeholders to ensure a constituency for the program to flourish.

**Establishing a vision statement.** In order to determine the appropriate change strategy, it is imperative that you develop a vision statement. The principal and the guiding coalition should develop the vision statement as it is critical to involve the key players in the organization (Bambrick-Santoyo, 2012; Bolman & Deal, 2013; Kotter, 2012; Spiro, 2011). Spiro warns that that developing a vision statement is not an isolated activity and should not be done by a single person. When the leader creates the vision statement on their own they lack buy-in from across the organization. To combat this problem, elementary school principal, Dewey Hensley of JB. Atkinson Academy for Excellence in Louisville, Kentucky asked teachers to help him create a vision for the perfect school which would serve as the basis for their school's vision of academic success for all students (The Wallace Foundation, 2013). According to Kotter (2012), the purpose of a vision statement is threefold. First, it clarifies the direction for change. Second, it motivates people to take action in the right direction. Third, it coordinates the actions of different people.

A well written, effective vision statement clarifies the direction for change. This is important because often times the organization does not agree on the direction they should be taking, they are confused, or they do not have a sense of urgency therefore they do not believe change is necessary. A vision statement gives the organization compelling reasons why they should change Asking if practices, decisions, and change efforts are in line with the vision will save unnecessary time spent on torturous discussion (Kotter,

2012). Confusion around clarity of direction ceases to exist when a vision statement is in place. When Reginald Higgins, principal of P.S. 125 in West Harlem, New York City, took over a failing elementary school he developed a vision statement that embodied the demands of the CCSS (Grossman & Cawn, 2016). To create buy-in, Higgins strategically focused on getting the school out of probationary status by building trust and morale among the staff, improving the curriculum, leading professional development, and creating targeted interventions for students with the special needs.

People need to see the immediate benefits on change in order to make strides in the direction of the transformation (Bolman & Deal, 2013; Kotter, 2012; Spiro, 2011). A vision statement motivates people to take action toward lasting change which may not be in the person's short-term self-interest. Providing clarity, being hopeful, and being motivating helps to overcome painful actions, practices, and behaviors. Acknowledging sacrifices will need to be made is common for a good vision statement, however, it should also make clear that these sacrifices will produce positive benefits. The right vision will give people an appealing cause that they can be inspired to fight for.

When individuals are not on the same page, their actions differ depending on their values, beliefs, and self-interests. If multiple directives are in place, confusion runs rampant and progress is stagnant and costly. A solid vision statement aligns everyone in the organization and produces efficiency. People understand the expectations and the intended outcomes and they can align their actions toward the vision.

In addition to aligning the members of the organization, the symbolic frame states that a vision statement also turns an organization's core ideology, or sense of purpose,



into an image of the future (Bolman & Deal, 2013). In *Built to Last*, Jim Collins and Jerry Porras (1994) state, “The essence of a visionary company comes in the translation of its core ideology and its own unique drive for progress into the very fabric of the organization” (p. 201). A vision statement provides descriptive, mental images that bring to life the history of the organization and core precepts to future events. When everyone in the organization shares in believing in the vision and aligning their behaviors and practices to the vision, it imbues an organization with spirit, resole, and confidence (Bolman & Deal, 2013).

**Communication.** Creating a vision statement is not enough to create change. Without communicating the vision success will be unlikely. The organization will not have a common understanding of its goals and direction without proper communication. The challenge of communicating the vision is that it requires clarity and courage. One way to be mindful of clarity of thought is to avoid technical jargon and use simple language that someone inside and outside of the organization can understand. Metaphors, analogies, and colorful language is another powerful way to communicate complicated ideas (Bolman & Deal, 2013; Kotter, 2012). Principal Reginald Higgins built urgency and excitement among teachers for his long-term vision, telling them, “We can create something really unique here, but you have to want to create a movement and understand that in the beginning, it’s going to be messy. It’s not always going be nice, but I’m going to support you” (Grossman & Cawn, 2016, p. 2).

Kotter (2012) offers seven key elements to effectively communicate the vision. Table 9 highlights these. The principal can utilize these key elements to communicate the

vision in a variety of ways. In conjunction with these elements, the principal should be cognizant of repeating themselves on a consistent basis (Bambrick-Santoyo, 2012; Kotter, 2012). Kotter suggests that useful communication to win over people's hearts and minds can come from verbalizing the vision statement sentence here, a paragraph there, two minutes in the middle of a meeting, five minutes at the end of a conversation, and other brief mentions. This repetition ensures the vision is clear and credible.

Table 9

*Key Elements in the Effective Communication of Vision*

<b>Key Elements in the Effective Communication of Vision</b>	
<i>Simplicity</i>	All jargon and technobabble must be eliminated.
<i>Metaphor, Analogy, and Example</i>	A verbal picture is worth a thousand words.
<i>Multiple Forums</i>	Big meetings and small, memos and newspapers, formal and informal interaction- all are effective for spreading the word.
<i>Repetition</i>	Ideas sink in deeply only after they have been heard many times.
<i>Leadership By Example</i>	Behavior from important people that is inconsistent with the vision overwhelms other forms of communication.
<i>Explanation of Seeming Inconsistencies</i>	Unaddressed inconsistencies undermine the credibility of all communication.
<i>Give-and-Take</i>	Two-way communication is always more powerful than one-way communication.

Source: Kotter, 2012, p. 92.

Bolman and Deal (2013) highlights the process of communication through all four reframing lenses. The structural frame sees communication as a means to transmit facts and information throughout the organization. All employees need to be clear on the structure of the organization in order to achieve their established goals and objectives. Without proper communication, this would not be possible. The human resources frame

suggests that communications exists to exchange information, needs, and feelings. When communication is clear and precise, the people and the organization are on the same page. This ensures a good fit for both parties. Individuals find meaning and satisfaction in their work and the organization is benefited by the talent and energy of the individuals. The political frame views communication as a means to influence or manipulate others (Bolman & Deal, 2013). Goals and decisions emerge from bargaining and negotiating among the stakeholders who all are vying for their own interests. Lastly, the symbolic frame utilizes communication as a way to tell stories and inspire others through hopeful messages. Events and processes are more important based on what is expressed as opposed to the final product. Stories and words of hope help people find purpose and passion. Ultimately, that purpose and passion is what inspires individuals to get behind a vision. Principal Eric Waters led a change initiative to improve instruction at his school by supporting teachers in differentiating their instruction (Hertberg-Davis & Brighton, 2006). To do this he repeatedly communicated in staff development meetings that the change process would be difficult and taxing, yet it is essential to maintaining a successful school. Waters announced to his faculty, “Some days it’s going to feel better than others. Some days it will just feel like a failure, but you’ll keep trying because this is the right thing” (as cited in Hertberg-Davis & Brighton, 2006, p. 95).

**Valuing employees.** A leader can show that they value their employees in many ways. One of those ways is establishing authentic, caring relationships. One of Fullan’s (2001) components of effective leadership is “relationships”. Successful leadership is not only defined by results, but it is also defined by the relationships that the leader cultivates

with individuals. A study on six super star principals highlighted one principal's ability to build relationships (Streshly & Gray, 2008). She stated that her job is all about relationships with teachers, teachers with teachers, teachers with students, students with students, and relationships with parents and community. In many ways, this style of leadership is new in the sense that the focus shifts to people and relationships as a channel of success.

It's a new style in that it says, place more emphasis than you have previously on the micro level of things in your company, because this is a creative conduit for influencing many aspects of the macro level concerns, such as strategy and the economic bottom line. It's a new style in that it encourages the emergence of a culture that is more open and caring. It's a new style in that it does not readily lend itself to being turned into 'fix it' packages that are the stuff of much management consultancy, because it requires genuine connection with co-workers; you cannot fake it and expect to get results. (Lewin & Regine, 2000, p. 57)

Principals should pay equal attention to data and statistics as they do to how they treat their faculty and staff.

What separates effective from ineffective leaders is to what extent they truly care about the people they are leading (Fullan, 2001; Kouzes & Posner, 1998). According to Kouzes and Posner, in order to create authentic relationships there are seven actions that principals should consider: (1) setting clear standards, (2) expecting the best, (3) paying

attention, (4) personalizing recognition, (f) telling the story, (6) celebrating together, and (7) setting the example.

One of Fullan's (2008) six secrets to change states that we must love our employees. One way in which we love our employees is by showing them they are valued. He states that we must value our teachers as much we value our students and parents. "The quality of the education system cannot exceed the quality of its teachers" (Barber & Mourshed, 2007, p. 8). This is why he believes that "children-first stances" are misleading and incomplete.

Valuing employees also requires the principal to create conditions for them to succeed (Bambrick-Santoyo, 2012; Bolman & Deal, 2013; Fullan, 2001; Fullan, 2008, Kotter; 2012, Sergiovanni, 1992; Spiro 2011). Helping employees to fulfill their goals as well as the goals of the organization requires the principal to help them find meaning, increased skill development, and personal satisfaction in contributing to the betterment of the organization (Fullan, 2008).

Promoting success will require the principal to utilize the aforementioned common change management theme of empowering employees by building their capacity. To accomplish significant improvements, principals must invest in the development of the faculty and staff. According to Fullan (2008), capacity consists of new competencies, new resources (time, ideas, expertise), and new motivation. One way in which principal, Susan Bearse showed that she valued her teachers is by creating a professional learning room for them to use (Cummins, 2015). She stated that it was important for her to make teachers a priority by creating a space for them, build

instructional training into the school day, and create 45 minutes of grade-level collaboration time on a daily basis.

### **Summary**

*A Nation at Risk*, the No Child Left Behind Act (NCLB), and the Common Core State Standards (CCSS) have all put a tremendous amount of pressure on school principals to produce high test scores and maximize learning outcomes for students. *A Nation at Risk* was a report commissioned by President Ronald Reagan that concluded that the public education system in America highlighted deficiencies in the educational process. This was one of the most influential federal government reports ever published as it was a gateway for federal input influence over local education. This report paved the way for the No Child Left Behind Act. This reform policy mimicked *A Nation at Risk* in the sense that it sought to close the achievement gap by imparting sanctions on local education policy. Education reforms initiated by the No Child Left Behind Act of 2001 inspired a revolution towards national standards being implemented throughout the country. The Common Core State Standards were created to ensure that all students graduate from high school with the skills and knowledge necessary to succeed in college, career, and life, regardless of where they live.

Education reform has changed the way principals lead their schools. They are now faced with the challenge of meeting national standards, state standards, and local standards in a time when resources are scarce and they are expected to do more with less. Principals make critical decisions to enact change on a daily basis. These decisions are rooted in the principal's sources of authority. The principal may elect to take a

bureaucratic, psychological, technical-rational, professional, or moral approach to leading. These sources of authority intersect with common themes in change management. Linear and non-linear models of change have many commonalities around the successful implementation of change. The researcher will identify which of these common themes underlies the principal's practice. The common themes found in the literature are: (a) sense of urgency; (b) empowering employees; (c) early, short-term wins; (d) engaging key stakeholders; (e) scaling & sustaining; (f) embed change in the culture; (g) creating a vision statement; (h) valuing employees; (i) communication. These themes are in no particular order and can be implemented at any time, in isolation, or in combination.

## CHAPTER III

### METHODOLOGY

The purpose of the study was to examine how one elementary school principal led change by using Sergiovanni's (1992) five sources of authority as well as effective change management models. The researcher described how a bounded, qualitative case study answered the study's research questions.

- How does one elementary school principal lead change by using Sergiovanni's five sources of authority and effective change management models?

Additional sub-questions that support the main question include:

- What are the principal's and teachers' perceptions of the impact of the change on the school?
- What sources of authority and change management models does the principal use to lead change in their school?
- Which sources of authority and change management models are used most and why?

The researcher described how data was collected by outlining how the principal interview, teacher interview, teacher survey, and document analysis were conducted.

Once the data was collected it was analyzed through a three-step process: (a) organize and prepare the data, (b) read through the data and code it, (c) find common themes in the



data. The researcher described the three steps in greater detail in the data analysis section. The validity and reliability section of the study notes how the researcher piloted the highly structured interview protocol and survey questions to obtain feedback. Biases and limitations are described at the conclusion of the chapter.

### **Research Design**

The researcher considered the most appropriate design for this study. Based on the questions the researcher sought to answer, the most appropriate design was determined to be a bounded, qualitative case study. A bounded, qualitative case study has boundaries, usually by time, place, or some activity (Merriam, 2009). The bounded time frame is the 2015-2016 school year. A case study was selected because the researcher seeks to understand how one elementary school principal led change. Yin (2009) highlights the fact that case study research design allows the researcher to draw inferences concerning causal relations among variables under investigation. The study is an “empirical inquiry that attempts to investigate a contemporary phenomenon that occurs in a real-life context” (p. 18).

According to Yin (1994), one function of a case study design is to answer “how” and “why” questions. The researcher sought to answer several questions regarding how one principal led change. Although there is an increasing amount of research being conducted on effective leadership practices, there is little to no research as to how a school principal’s decision making as investigated through the lens of Sergiovanni’s (1992) five sources of authority intersects with effective change management models.

The data collected will provide the basis for applying ideas and lessons learned through the study.

### **Participants and Context**

The school site chosen for this study, Oak Elementary (pseudonym), is a PK-8<sup>th</sup> grade elementary school in an urban, Midwest city. The school services approximately 400 students. Of these students, 83% identify as Black and 17% identify as Hispanic. 92% of the student population comes from low-income households. Ten percent of the students have an individualized education plan for special needs and 6% are considered to have limited English proficiency. The administration is comprised of one principal and one assistant principal. The faculty is made up of 21 homeroom teachers, specials teachers, and special education teachers. The district in which the school site is located is a highly unionized district. The principal considered all union guidelines when making decisions. Currently, Oak Elementary is in “good standing” by district standards based on indicators such as student test score data, closing of achievement gaps, school culture and climate, attendance, and graduation rates.

Because the researcher sought to examine how one elementary school principal led change and how teachers perceived the effectiveness of the change, there were several characteristics that were considered when selecting a principal.

- Been in the position for three or more years
- Worked in a public school that was required to meet federal and state mandates
- Recognized a need for change to improve student outcomes

- Led a school-wide change initiative

The researcher ultimately used purposeful sampling for this study (Patton, 2002).

Purposeful sampling is a technique used for the identification and selection of cases related to the phenomenon of interest. The principal selected for this study, Principal Smith (pseudonym), met all of the aforementioned criteria. He was employed as the principal of the school for six years. After his first year, he was motivated to create change to improve the instruction at the school. This led the principal to seek partnerships that would be of assistance in providing resources such as professional development, funds, and create positive, lasting change. A detailed description of the change initiatives at Oak Elementary is described below.

In addition to principal selection, the researcher also created a set of criteria that applied to all teachers who participated in the electronic survey and/or teacher interview.

- Teacher must have taught subject area(s) that were affected by change initiatives.
- Teacher was employed in the same position during the 2014-2015 school year as well as the 2015-2016 school year.

Principal Smith took over the school in 2011. At that time, the school's performance data was close to that of "probationary" status in the district. Probationary status is determined by the district's performance system that measures academic success. This performance system is based on various measures of success, such as student test score performance, student academic growth, closing of achievement gaps, school culture and climate, attendance, graduation, and preparation for post-graduation success. The

principal noted in his classroom observations that instruction resembled the factory model of schooling. Students sat in rows, the teacher delivered whole group instruction, lessons were “one size fits all,” students completed worksheets, and students were often disruptive and exhibited behaviors indicating they were not engaged. In his opinion, there was a severe lack of student-centered learning. In addition to these observations, the principal also noted the lackluster conditions of the buildings. The limited number of technology that was available was outdated and/or not working. The furniture was falling apart, the paint on the walls was not aesthetically appealing and was falling off, and the overall feel that one received when entering the building was not warm and inviting.

Principal Smith knew that the students at Oak Elementary deserved better. He started by revamping instruction throughout the entire building. Using professional development provided by the administration and outside providers, the focus became on how to meet all students wherever they were instructionally. No longer were teachers using whole group instruction as their primary means of teaching. Teachers began using whole group mini lessons and then broke into small groups for more intense, differentiated instruction. Students worked at centers which involved using educational software programs or other meaningful independent work at their level while the teacher worked with a small group. Increased scores in state mandated testing, district mandated testing, school wide assessments, and teacher created assessments all indicated that the shift in instructional practice increased student achievement.

Principal Smith also enlisted the help of outside organizations to make donations and volunteers to do improvements to the facilities. Walls were painted, rugs were

donated, school spirit posters were hung, an overhaul of the playground was completed which included creating a community garden, and other repairs around the building were completed to make the school a place that students, teachers, parents, and community members would be proud of.

Even after an increase in student achievement and a makeover of the facilities, Principal Smith believed that his faculty and staff had the capacity to grow and that their practices still needed to evolve. He began this work in 2014 by enlisting the teachers to work on rewriting the vision statement. The creation of a new vision statement allowed Principal Smith to determine how to use his sources of authority to support teachers to ensure they had the tools necessary to implement the vision.

One way he did this was by partnering with a local organization, Innovative Education, which is dedicated to working with schools to transform their instruction into personalized learning models. Innovative Education partners with schools in the district by providing them with professional development and networking opportunities to transform their instruction into personalized learning. Personalized learning models of instruction focus on delivering instruction to students' that meets their individual needs. Teachers participated in a one year pilot in which a group of 2<sup>nd</sup> - 5<sup>th</sup> grade teachers piloted educational software programs. Educational software programs allow students to access digital content across all subject areas. These programs offer a unique way of learning as the programs often differentiate the instruction for each student based on their needs. Oak Elementary also participated in another pilot with Innovative Education in which the principal and teacher leadership team was challenged with implementing a

personalized learning blueprint that would be taken to scale within five years. These pilots allowed Principal Smith and the team of teacher leaders the opportunity to engage in professional development and receive funding that would allow them to improve instruction at Oak Elementary. One way this pilot benefited the school is through the educational software programs. Principal Smith saw the implementation of educational software programs as a way to provide the teachers with additional instructional strategies based on the real-time data produced by the program. The software also provided teachers with a way to engage their students while the teacher worked with a small group of students. Grades 2-5 participated in this pilot and saw a tremendous amount of success based on teacher and student feedback, school wide assessment data, teacher assessment data, and district mandated testing data.

### **Data Collection**

This study will help principals be mindful of how they can strategically utilize Sergiovanni's (1992) sources of authority to lead change in their school. Data collection consisted of electronic teacher survey, three random teacher interviews, one principal interview, and document analysis. The documents collected consisted of grade level meeting agendas as well as documents that were utilized during those meetings. Throughout the data collection process highly structured interview, semi-structured interview, and unstructured surveys were used. Table 10 highlights the characteristics of each interview structure.

Table 10

*Interview Structure Continuum*

<b>Interview Structure Continuum</b>		
<i>Highly Structured</i>	<i>Semistructured</i>	<i>Unstructured</i>
<ul style="list-style-type: none"> <li>• Wording of questions is predetermined</li> <li>• Order of questions is predetermined</li> <li>• Interview is oral form of a written survey</li> <li>• In qualitative studies, usually used to obtain demographic data (age, gender, ethnicity, education, etc.)</li> <li>• Examples: U.S. Census Bureau survey, marketing surveys</li> </ul>	<ul style="list-style-type: none"> <li>• Interview guide includes a mix of more and less structured interview questions</li> <li>• All questions used flexibly</li> <li>• Usually specific data required from all respondents</li> <li>• Largest part of interview guided by list of questions or issues to be explored</li> <li>• No predetermined wording or order</li> </ul>	<ul style="list-style-type: none"> <li>• Open-ended questions</li> <li>• Flexible, exploratory</li> <li>• More like a conversation</li> <li>• Used when researcher does not know enough about phenomenon to ask relevant questions</li> <li>• Goal is learning form this interview to formulate questions for later interviews</li> <li>• Used primarily in ethnography, participant observation, and case study</li> </ul>

Source: Merriam, 2009, p. 89.

According to Benjamin Crabtree (1992), the goal of qualitative research is threefold. The researcher strived to achieve exploration, description, or explanation of a particular phenomenon. In this study, the researcher explored how one elementary school principal led change by using Sergiovanni's (1992) Five Sources of Authority as well as effective change management models. The researcher conducted a highly structured principal interview as one means of data collection.

In addition to the principal interview, the researcher also distributed an electronic survey created through Google Forms to all of the classroom teachers at the school who qualified for and consented to participate in the study. Consent forms were distributed to

teachers by the researcher on site at the school. The survey was available to classroom teachers who teach kindergarten-eighth grade general education that worked at the school during the 2014-2015 school year and 2015-2016 school year. The survey was distributed via email to teachers from Google Forms. Teachers were able to indicate if they would like to use their personal or work email address.

### **Survey**

The researcher created and distributed an electronic survey to teachers at the beginning of the study. The purpose of the survey was to examine the sources of authority and change management models utilized by the principal and the teachers' perceptions of the impact of the change on the school. According to Salant and Dillman (1994), "If your goal is to find out what percentage of some population has a particular attribute or opinion, and the information is not available from secondary sources, then survey research is the only appropriate method" (p. 9). The researcher followed Salant and Dillman's, "Ten Steps for Success" to conduct survey research: (1) understand and avoid the four kinds of error, (2) be specific about what new information you need and why, (3) choose the survey method that works best for you, (4) decide whether and how to sample, (5) write good questions that will provide useful, accurate information, (6) design and test a questionnaire that is easy and interesting to answer, (7) put together the necessary mix of people, equipment, and supplies to carry out your survey in the necessary time frame, (8) code, computerize, and analyze the data from your questionnaires, (9) present your results in a way that informs your audience, orally or in writing, (10) maintain perspective while putting your plans into action.



All of the survey questions were open ended. Seidman (2013) states that an open-ended question allows the interviewee to take any direction they want with their answer, but at the same time it provides boundaries for which the question should be explored. This type of survey questioning has many strengths: (a) respondents answer the same questions which increases comparability of responses, (b) data are complete for each person on the topics addressed in the interview, (c) facilitates organization and analysis of the data (Patton, 2002).

The survey was evaluative in nature as the researcher sought to examine how one elementary school principal led change by using Sergiovanni's (1992) five sources of authority as well as effective change management models. The survey was conducted electronically to allow for flexibility in when respondents could submit their answers as well as to elicit a higher response rate. Electronic surveys can produce higher response rates as compared to paper-and-pencil surveys and participants are likely to be more candid in their answers as opposed to in an interview (Thach, 1995, p. 31). Google Forms was used to distribute electronic teacher surveys. Google Forms has infrastructures in place to ensure that data is secure and remains confidential. The researcher concluded that the data would be confidential and private per Google's Privacy Policy. In addition to this, the participant's email addresses were not sold. The researcher used the email addresses of consenting participants that were gathered during the initial faculty meeting. The survey was sent out at the beginning of the study. A paper and pencil copy was provided for participants in the event they want to participate but did not want to take the electronic survey. Participants had approximately three weeks to complete the survey.

In order to gather data that elicited information on the change initiatives implemented by the principal, the researcher identified various qualifications the teachers must meet. Teachers must have worked at the school during the 2014-2015 school year as well as the 2015-2016 school year in order to be eligible to participate in the survey. This ensured that the teachers could speak to the ways things have changed based on the principals' use of their sources of authority and various change management models they used in the 2015-2016 school year. The survey questions can be found in Appendix C.

### **Interview**

The best way to get quality data is by asking good questions during an interview (Creswell, 2009; Merriam, 2009; Patton 2002; Seidman, 2013; Yin, 2009). Good questions are open-ended, neutral, singular, and clear (Patton, 2002). The researcher ensured that she asked good questions by:

- Not presupposing the dimensions of feeling or thought for the interviewee.
- Allowing the interviewee to select from among that person's full repertoire of possible responses.
- Asking no more than one idea in any given question.
- Finding out what special terms are commonly used by those being interviewed.
- Understanding what language participants use among themselves in talking about a setting, activities, or other aspects of life.
- Providing clarity by avoiding labels.

Building rapport with the interviewees was critical to obtaining honest, unbiased information. To do this the researcher remained neutral. “Neutrality means that the person being interviewed can tell me anything without engendering either my favor or disfavor with regard to the content of her or his response” (Patton, 2002, p. 365).

Building rapport and staying neutral was achieved through the following ways: (a) using illustrative examples in questions, (b) using role-playing and simulation questions, (c) avoiding presupposition questions, (d) using prefatory statements and announcements, (e) using probes and follow-up questions, (f) asking for process feedback during the interview, (g) providing reinforcement and feedback during the interview, (h) maintaining control and enhancing the quality of responses (Patton, 2002).

To ensure that the questions being asked would lead to sound data, the interview was piloted with several of the researcher’s colleagues in the winter of 2016.

Administrators and teachers participated in mock interviews and gave the researcher feedback on the questions. The feedback helped the researcher ask more concise, specific question.

Interviews were conducted on site at the participants’ school. The only people that participated in interviews were those who filled out a consent form and returned it to the researcher. The researcher conducted a brief faculty meeting after school to inform the teachers of the study. At the beginning of this meeting, consent forms were handed out to all teachers who met the criteria to participate in the study. At the end of the meeting consent forms were collected by the researcher to ensure confidentiality in regards to who

is will participate in the study. The researcher remained ethical by encouraging teachers to participate but not pressuring participation (Salant & Dillman, 1994, p. 9).

The researcher interviewed the principal and conducted random teacher interviews using questions that are based on Patton's (2002) six types of questions to ask: (1) *behavior* questions seek to elicit information about what a person has done or is doing, (2) *opinions/values* questions tell about what a person thinks about a topic, (3) *feelings* questions look to identify the respondents feelings, (4) *knowledge* questions aim to identify facts about a topic, (5) *sensory* questions inquire as to what people have seen, touched, heard, tasted or smelled, (6) *background/demographics* questions are standard background questions, such as age, education, etc. By asking these types of questions it forced the researcher to clarify what is being asked and it also helped the interviewees respond appropriately.

Merriam (2009) highlights the necessity of interviewing when you cannot observe things such as people's behavior, feelings, or how they interpret their surroundings. The researcher used a highly structured, standardized open-ended means of interviewing the principal. The questions were predetermined and were asked in a specific order. The questions were the same ones used in the teacher survey but were worded slightly differently to reflect the principal as the subject of the question as opposed to the teacher. An example of the same question asked in the teacher survey and the principal interview can be found in Table 11. Because the principal is answering the same questions as the teachers in the survey, comparability of responses increases. The teacher survey

questions can be found in Appendix C, and the principal interview questions can be found in Appendix D.

Table 11

*Teacher Survey Question and Principal Interview Question*

<b>Teacher Survey</b>	<b>Principal Interview</b>
What do you think is the principal's vision of the school?	What is your vision of the school?

The researcher also utilized random sampling to conduct teacher interviews. Upon gathering all of the completed surveys, three random surveys were picked to conduct an in-depth one-on-one interview with the teacher. Random sampling substantially increased the credibility of the results of the study. "A small, purposeful random sample aims to reduce suspicion about why certain cases were selected for study, but such a sample still does not permit statistical generalizations" (Patton, 2002, p. 241). The researcher only conducted the interview if the teachers indicated on the consent form that they agreed to a follow up interview. The interview was semi structured. The researcher asked probing questions in response to the teacher's survey responses. Based on the teacher's responses during the interview the questions changed slightly in order for the researcher to elicit more information. A set of guiding questions that was used during the teacher interview can be found in Appendix E.

### **Document Analysis**

In addition to the teacher survey, principal interview, and teacher interviews, the researcher conducted a document analysis. The documents consisted of grade level

meeting agendas. Some of the grade level agendas included dialogue protocols and data deep dive worksheets that were used during those meetings. Documents can “provide broader perspective than what might be provided in a directed observation over a limited time” (Yin, 2009, p. 113). Limitations were not placed on the type of documents collected. “These kinds of documents provide the evaluator with information about many things that cannot be observed” (Patton, 2002, p. 293). The researcher collected the documents at the principal’s discretion.

The maximum response rate for participation is desired to increase reliability and validity. The researcher gave teachers a week extension to complete the survey. The researcher also gave the participants the option of taking a paper and pencil version of the survey. All electronic surveys were sent to teachers’ preferred email address. Upon completion, the data was recorded in the researcher’s Google account. No teachers elected to take the paper and pencil survey.

The goal of the interview, survey, and document analysis was to provide data to support the research questions. The proposed research questions of this qualitative case study highlight how one elementary school principal leads change. The main question that drives this study is:

- How does one elementary school principal lead change by using Sergiovanni’s five sources of authority and effective change management models?

Additional sub-questions that support the main question include:

- What is the principal's and teachers' perceptions of the impact of the change on the school?
- What sources of authority and change management models does the principal use to lead change in their school?
- Which sources of authority are used most and why?

### **Data Analysis**

The researcher utilized a step-by-step approach to data analysis. The goal of analyzing the data was to answer the research questions (Merriam, 2009). A three-step method to data analysis occurred (Creswell, 2009; Merriam, 2009). The first step was to organize and prepare the data for analysis. This was done by having the principal and teacher interviews transcribed by a freelance transcriber employed by [www.rev.com](http://www.rev.com). In regards to the principal interview, the researcher analyzed data for evidence of how the principal led change by using Sergiovanni's (1992) five sources of authority as well as effective change management models. Teacher interviews were analyzed for evidence of their perceptions of the impact the change had on the school.

The researcher organized all data into binders to maintain organization. One binder was for documents collected throughout the study. They were organized chronologically and by type (meeting agenda, lesson plans, memos. etc.). The remaining binders were used for principal interview transcription, teacher interview transcription, and copies of the teacher's survey results. All binders were kept in a locked storage cabinet.

The next step was to read through all of the data. A key component to making sense of it will be to manage the data throughout the duration of the study. One way to do this was to identify data units that support the research questions based on the transcribed interviews, survey data, and document analysis (Merriam, 2009). Units of data met two criteria (Lincoln & Guba, 1985). The first is that the data were responsive to the research questions. Second, the units of data were able to stand on their own within the context of the study. The reader will be able to derive meaning from the data without any other information being present. This was done by coding all data. The researcher organized information by coding transcribed interviews, open ended survey questions, and documents based on evidence of Sergiovanni's (1992) five sources of authority as well as common change management themes. "Coding is nothing more than assigning some sort of shorthand designation to various aspects of your data so that you can easily retrieve specific pieces of the data" (Merriam, 2009, p. 173). A color and number system was used to code each unit of data to Sergiovanni's (1992) five sources of authority as well as common change management themes. Table 12 illustrates the codes that the researcher will use. These coding categories were designed to meet the following criteria suggested by Merriam (2009).

- Categories are responsive to the purpose of the research.
- Categories should be exhaustive.
- Categories should be mutually exclusive.
- Categories should be sensitizing.
- Categories should be conceptually congruent.



Table 12

*Conceptual Framework Coding Key*

Sergiovanni's Five Sources of Authority		Change Management Models	
<i>Source</i>	<i>Number</i>	<i>Theme</i>	<i>Color</i>
Bureaucratic	1	Sense of Urgency	Red
Psychological	2	Empowering Employees	Yellow
Technical-Rational	3	Early, Short-Term Wins	Blue
Professional	4	Engaging Key Stakeholders	Green
Moral	5	Scaling & Sustaining	Orange
		Embed Change in the Culture	Pink
		Relationships	Gray
		Communication & Transparency	Black

Once all data was coded it was analyzed by finding common themes based on the intersection of the sources of authority the principal uses in conjunction with change management practices they use. The data from the survey was interpreted by organizing the participants' responses into tables, graphs, and figures to provide a thorough description of the survey data. Ryan and Bernard (2003) highlight the importance of looking for themes, chiseling down to themes significant for the project, using the themes to build a hierarchy of themes, and linking these themes together in order to establish a theoretical model. The researcher found these themes by using the coded data that has

was organized by the intersectionality of Sergiovanni's (1992) five sources of authority and effective change management models.

The last step in the data analysis portion was to apply all findings to the research questions. John Creswell (2014) highlights the importance of interpretation. He states that the once you have concluded the coding process, have identified themes, have described the themes and modeled them through narrative writing and visuals such as graphs, the researcher must now describe the lessons learned.

These lessons could be the researcher's personal interpretation, couched in the understanding that the inquirer brings to the study from a personal culture, history, and experiences. It could also be a meaning derived from a comparison of the findings with information gleaned from the literature or theories. (p. 249)

Lessons learned can confirm past information, diverge from it, and even suggest new questions that need to be asked.

### **Biases**

The researcher acknowledged that bias may be present because prior to the study, the researcher was employed at the school being studied and was working under the principal to assist in improving student performance. Irving Seidman (2013) states that even experienced interviewers cannot anticipate some of the uncomfortable situations that may develop in an interview. To combat the issue of distorting the interview due to relationships with the teachers being interviewed, the researcher followed Patton's (2009) characteristics of effective interviewing.

In addition to this, the researcher is currently focused on leading change in her current school by utilizing sources of authority and change management models. To eliminate the bias, the researcher practiced reflexivity by keeping a reflective journal. The journal was an electronic documentation of the researcher's experiences and reflections upon those experiences.

Reflexivity reminds the qualitative inquirer to observe herself or himself so as to be attentive to and conscious of the cultural, political, social, linguistic, and ideological origins of her or his own perspective and voice as well as - and often in contrast to - the perspectives and voices of those she or he observes and talks to during fieldwork. (Patton, 2009, p. 299)

At any point that the researcher felt that personal feelings were influencing the study, she paused, reflect on the journal entries, identified how to move forward being objective in nature, and then proceeded with the study again.

By engaging in ongoing dialogue with themselves through journal writing, researchers may be able to better determine what they know and how they think they came to know it. An introspective record of a researcher's work potentially helps them to take stock of biases, feelings, and thoughts, so they can understand how these may be influencing the research. Making such information available to readers provides them with a means to better evaluate the findings. (Watt, 2007, p. 82)

Another mechanism for eliminating bias was to report the preliminary findings to the researcher's dissertation chair. The researcher's dissertation chair provided feedback

on a consistent basis and this feedback was implemented in the study. In addition to the dissertation chair, the researcher received and implemented feedback from the dissertation readers.

### **Validity and Reliability**

Validity and reliability were critical to the credibility of the researcher's study. "We need to be attuned to the multiple factors that pose risks to the validity of our findings; and plan and implement various tactics or strategies into each stage of the research project to avoid or weaken these threatening factors" (Brink, 1993, p. 35). There are three types of validity: internal, external, and construct validity. Internal validity is the extent to which the findings are a true representation of reality or if they have been skewed by extraneous influences (Denzin, 1970). One threat to internal validity in this study is selection. External validity is the extent to which the results of a study can be generalized to other situations and to other people (Denzin, 1970). Construct validity is the degree to which an instrument measures what it is going to measure.

To promote internal validity, the researcher piloted the survey and interview questions with ten administrators in the public-school system. The respondents participated in a mock interview and/or took the electronic survey and provided the researcher with feedback. Their feedback was focused on making the questions clearer, making the questions more concise, and to reword certain questions to make sure they are measuring what they are intended to measure.

Reliability is the capacity of a research method to produce the same results over repeated testing periods (Brink, 1993). A highly structured interview style is one way in

which this study maximized reliability. Using the same predetermined interview questions produced consistent data that can be compared across a number of respondents. Another way the researcher aimed to increase reliability is by using random sampling. This type of sampling eliminated suspicion as to why certain participants were selected for the study and not others.

### **Summary**

In summary, a qualitative methodology was used to examine how one elementary school principal led change in their school. The researcher employed a bounded case study consisting of one principal and a group of teachers. To increase validity, the researcher used multiple sources of data: an electronic teacher survey, a highly structured interview with the principal, a semi structured interview with three teachers, and document analysis. Upon collecting and transcribing the data, the researcher then coded the data using a number and color system based on the conceptual framework and the intersectionality of change management models. Once the data was coded properly, the researcher analyzed it looking for common themes to answer the main research question: How does one elementary school principal lead change by using Sergiovanni's (1992) five sources of authority and effective change management models?

## CHAPTER IV

### RESULTS

The purpose of this study is to examine how one elementary school principal has led change and how the principal and teachers perceive the effectiveness of the change. The researcher utilized Sergiovanni's (1992) five sources of authority to analyze how one principal made decisions and how this intersects with various change management models. This research will help principals be mindful of how they can strategically utilize the power they have to make decisions in conjunction with effective practices to lead change in their school.

The researcher used a qualitative methodology approach to answer the following research questions to highlight how one elementary school principal leads change. The main question that drove this study is:

- How does one elementary school principal lead change by using Sergiovanni's five sources of authority and effective change management models?

Additional sub-questions that support the main question include:

- What are the principal's and teachers' perceptions of the impact of the change on the school?
- What sources of authority and change management models does the principal use to lead change in their school?

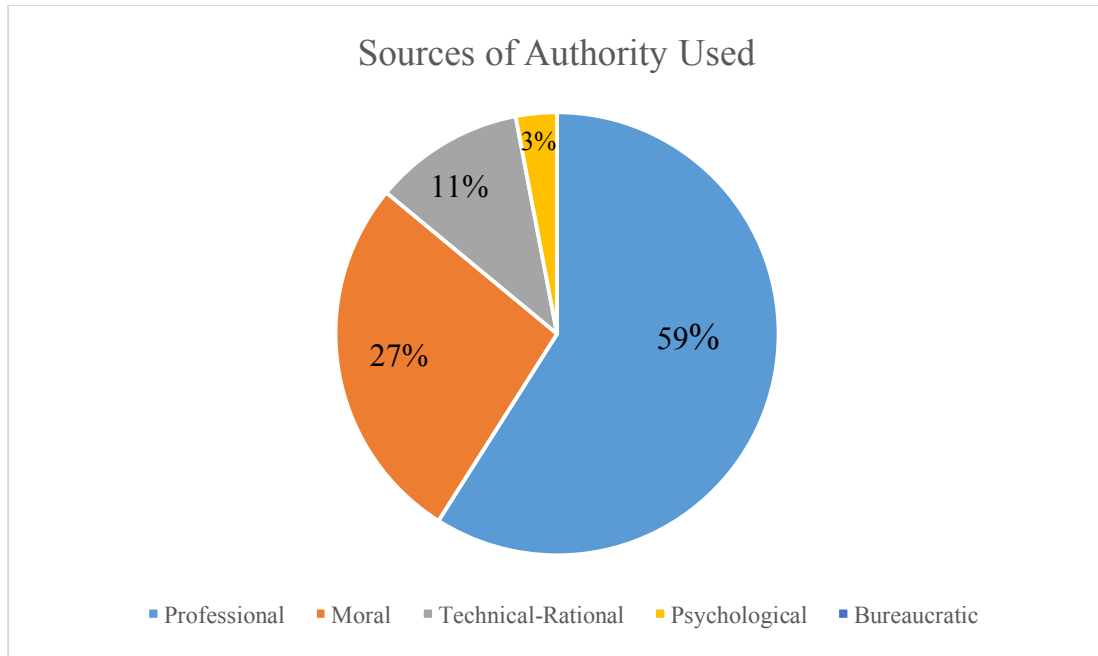
- Which sources of authority and change management models are used most and why?

### **Sources of Authority and Change Management Models**

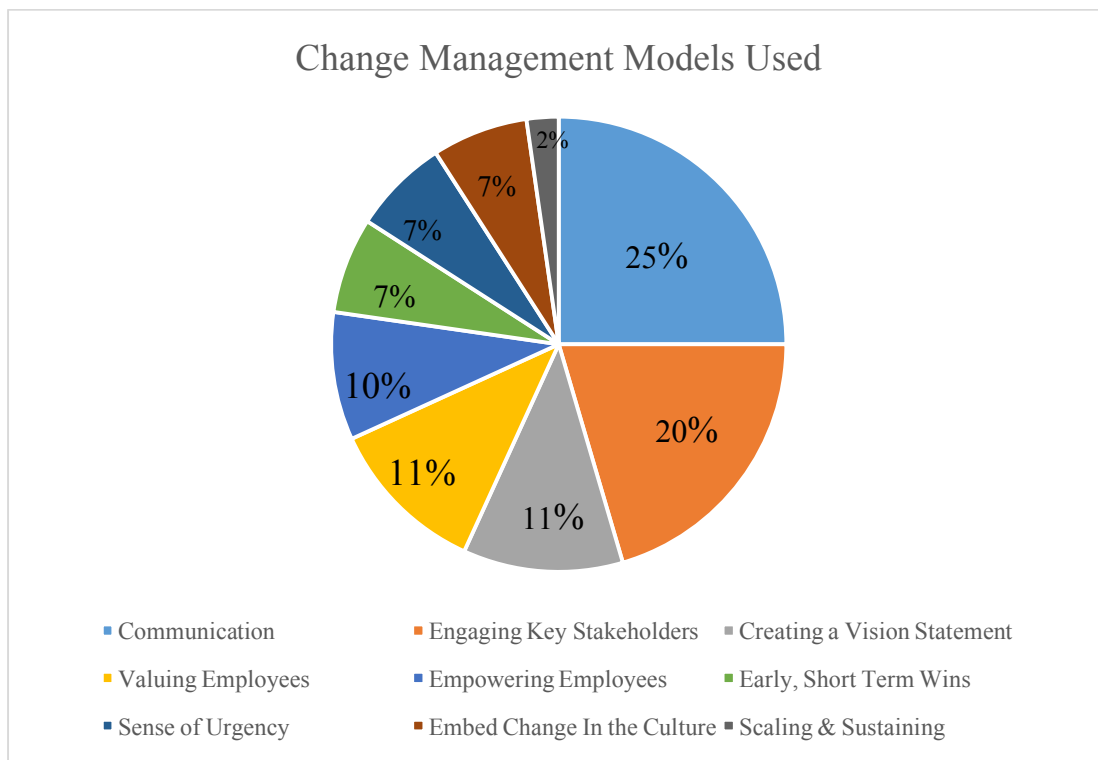
This study sought to answer how one elementary school principal led change by using Sergiovanni's (1992) five sources of authority and change management models. The researcher read the principal's interview script and color coded the data based on the nine change management models identified in Chapter II. Based on the analysis of the principal's interview data, the researcher concluded that professional and moral authority were used the most. These are considered the principal's primary sources of authority. He also used communication, engaging key stakeholders, creating a vision statement, and valuing employees the most in conjunction with professional and moral authority. Figures 7 and 8 illustrate the distribution of evidence in regard to sources of authority and change management models that were used.

#### **Professional Authority**

Professional authority was the source of authority used most by the principal. The researcher organized the data into subsections according to the change management models used most in conjunction with professional authority which were establishing a vision statement, engaging stakeholders, and communication. Each subsection includes teacher and principal data as well as evidence from document analysis.



*Figure 7. Sources of Authority Used by the Principal*



*Figure 8. Change Management Models Used by the Principal*



**Professional authority and establishing a vision statement.** Principal Smith was intentional about using his professional authority to support his efforts to establish a new vision statement in collaboration with the teachers. The most common theme that supports Principal Smith's use of professional authority and establishing a vision statement is identifying core values and beliefs that would be used as the foundation for the vision statement. He used his professional authority to do this by promoting a dialogue among teachers to determine their professional values and what professional standards of practice they felt were important. This dialogue was what served as the inspiration for the new vision statement. Principal Smith stated, "I wanted teachers to talk about what inspires them and what they thought was best for our kids." This shows that he felt it was important for teachers to communicate their values and beliefs in order to establish a new vision statement. Principal Smith recognized that the vision statement that was in place when he became principal at Oak Elementary was driven by high stakes test scores and meeting AYP rather than values and beliefs. He enlisted the help of all teachers in order to write a new vision statement that reflected a shared covenant comprised of common values and beliefs that would align all stakeholders. He stated,

We did it as a team. We had to figure out what exactly we wanted for our kids.

Once we did that, we knew we were on to something. We took all of that and put it into a new vision statement.

This shows that Principal Smith wanted to create buy-in by including teachers in rewriting a new vision statement that they all could be inspired by. Principal Smith could have written the vision statement on his own, but instead he chose to involve everyone as

a means of motivating them intrinsically to get on board with his change initiatives. By using professional authority to establish a new vision statement, Principal Smith was able to create a school culture in which teachers respond to the professional norms that they established together.

**Professional authority and engaging stakeholders.** While using this source of authority, one change management model that was used frequently was engaging key stakeholders. Some of the common themes that support the principal's use of professional authority and engaging key stakeholders are allowing teachers to work collaboratively, using feedback from teachers to make decisions, and investing in teachers' professional development. These themes show that Principal Smith values teachers' knowledge and expertise and also values engaging stakeholders in the change process.

Principal Smith and the teachers all indicated in their interviews that Principal Smith allowed teacher leaders to work in a collaborative, safe space during grade level meetings. During this time, teachers were able to work on lesson plans as a team. Additionally, they engaged in discussions with the principal around agreed upon best practices that promoted improved student performance. Teachers indicated in their surveys and in their interviews that they were able to freely express their opinions and engage with the principal around his expectations. This open dialogue created a safe space for teachers to collaborate not only with their colleagues, but also with the principal. This shows that Principal Smith was using professional authority because he allowed teachers to have discretion in regard to lesson planning as well as by promoting a dialogue among teachers around best practices in the classroom. The dialogue about best

practices that should be utilized in the classroom explicitly stated the professional values and practices that were acceptable among all teachers. This also shows that Principal Smith was engaging key stakeholders by giving all teachers time to collaborate and work together.

In addition to this, Principal Smith used feedback from teachers to make decisions. Mr. Frey (pseudonym), a third-grade teacher, and Ms. Bloom (pseudonym), a second-grade teacher, noted in their surveys that they felt that the principal was not only open to feedback but he used the feedback when making decisions. This made them feel that they were valued. Mr. Frey wrote in his survey, “We could always give our feedback at any time. [Principal Smith] listened to what we had to say and actually used the feedback. It felt good knowing you could actually talk to the principal and share your concerns.” In addition to this, Mrs. Bloom wrote in her survey,

Our feedback was given, and I think he really paid attention to it. Some people ask for it but don’t want it. A lot of times he asked what was going on and what we need. He used our feedback. His admin team was helpful. You would talk amongst your group, then go to admin and tell them what you’re facing and suggestions. You would get input from him, the admin team, and other teachers. It was used and it was valuable.

This is evidence that the principal engaged key stakeholders by including teachers in the decision-making process. Evidence also shows that Principal Smith utilized professional authority by giving teachers discretion. This source of authority assumes that situations of practice are idiosyncratic and no one best way exists (Sergiovanni, 1992). By allowing all

teachers to have discretion and a voice by providing feedback around decision making, Principal Smith showed that he values the fact that not every situation is cut and dry and peculiarities do exist.

Principal Smith also discussed the importance of professional development. He stated that professional development is a way to engage his staff in increasing their knowledge and capacity. He said, "I would say one of the most powerful forms of professional development is getting teachers out of the building to see personalized practices." He also noted the importance of investing in substitute teachers as a means of allowing teachers to leave the building during the school day in order to support their professional development. Principal Smith stated, "...investing in internal substitutes so that our teachers can do that sort of learning. I would say that, that's been the most effective form of professional development." These actions show that Principal Smith engaged stakeholders and exerted professional authority by valuing teachers' professional knowledge and committing to raising their capacity through professional development. Leaders who exert professional authority believe that through professional development that is based on teachers' needs, teachers will grow and become masters at their craft (Sergiovanni, 1992). Additionally, document analysis showed that during grade level meetings, teachers involved in the Innovative Education pilot would lead portions of the meetings to share the professional development they received. This shows that Principal Smith valued the knowledge that teachers gain during professional development so much that he carved out time during a grade level meeting to allow teachers to share what they learned.

Principal Smith's use of professional authority and engaging key stakeholders allowed him to provide teachers with a collaborative and safe space to work in addition to using their feedback to inform decision making and investing in their professional development. Using professional authority was one way that Principal Smith showed he valued teachers' professional knowledge. Valuing teachers required him to create conditions for them to succeed. Principal Smith did this by incorporating collaborative work time into the school day. By doing this he showed that he valued their time and the hard work that they put into their planning.

Allowing teachers to work collaboratively, using feedback from teachers to make decisions, and investing in teachers' professional development are all ways that Principal Smith used professional authority while engaging stakeholders. All of these actions show that Principal Smith values his teachers which ultimately led them to dedicate themselves to improving their practice to increase student performance.

**Professional authority and communication.** Professional authority was also utilized a substantial amount in conjunction with communication. Some of the common themes that support the principal's use of professional authority and communication are identifying the purpose for change and communicating the vision. These themes show that Principal Smith valued dialogue that explicitly states professional values and accepted tenets of practice as well as the power behind communicating the school's vision statement.

When asked how he inspired his teachers to change their practice to improve student outcomes Principal Smith said that he asked teachers, "What's our purpose for

change and why should we think about doing things differently?” Identifying the values and beliefs shared by everyone was one of the first steps he took in the change process that allowed for Principal Smith to create a new vision statement that truly reflected what the principal and teachers wanted for Oak Elementary. This is an example of him exerting his professional authority as well as using communication by promoting a dialogue among teachers that explicitly states professional values and accepted tenets of practice. Once they were able to identify their values and beliefs they were able to craft the vision statement which was a true reflection of what Principal Smith and the teachers felt was good and right for students.

Principal Smith knew that creating a new vision statement was not enough. He had to be deliberate in communicating it to all stakeholders. He said, “Now we’re always talking about the vision. We are always screaming our theme. I think my primary job as the visionary is constantly keeping the vision at the front, coordinating everyone’s work so that everyone’s working towards the vision.” This shows that that Principal Smith used professional authority to engage teachers in conversations about their own beliefs and values which are reflected in the vision statement. He ensured the vision was clear and easy to understand by avoiding technical jargon. He also incorporated a brief school slogan that was composed of four words. Although it is brief, the statement is worth a thousand words. Those four simple words are impactful because they clearly stated that they are dedicated to ensuring their students have the best possible experience. In addition to this, Principal Smith used as many platforms and gatherings as he could to repeat the vision which included: grade level meetings, morning announcements to the

whole school, newsletters home, the school website, and extracurricular functions. Ideas sink in deeply when they have been heard many times so the fact that Principal Smith was intentional about repeating the vision statement shows that he is committed to this message guiding the work of the school (Kotter, 2012). Document analysis showed that every grade level meeting started out by reviewing the vision statement. This shows that Principal Smith was intentional about being repetitious and clear in order to communicate the vision.

The evidence is clear that Principal Smith valued dialogue based on his use of professional authority and his use of communication. He engaged teachers in conversations in which professional values and accepted tenets of practice were identified and put into practice. He also showed that he understands the importance of clearly communicating the school's vision based on evidence that shows he repeated the vision statement frequently in multiple ways as well as used clear, direct language instead of confusing jargon. Using professional authority in addition to being diligent about communication were strategies used by Principal Smith that elicited change at Oak Elementary because the school community is now operating under a vision statement that was created based on their own values and beliefs. In addition to this, intentional, direct, frequent, and repetitious communication was a key factor in communicating the vision to the larger school community in order to share that changes that have happened at Oak Elementary.

**Other change management models.** In addition to using professional authority in conjunction with engaging key stakeholders and communication, Principal Smith also

utilized other change management models with this source of authority. For example, Principal Smith stated that he created a sense of urgency around the need for a new vision statement. He said, “I had teachers look at student performance data. You couldn’t deny that our students were underperforming. We all agreed we had to change.” This shows that Principal Smith used professional authority to lead a discussion around what accepted professional standards would look like in order to improve student performance. He combined that with creating a sense of urgency by highlighting practices that currently were not working and establishing values and practices that teachers felt represented what they believed it. Under the old vision statement, the school was solely focused on test scores and making AYP. The creation of a new vision statement allowed the principal and the teacher to identify their core beliefs and craft something that got to the core of what the entire team believed was best for students. The new vision now reflected what all stakeholders desired which was for students to love learning at Oak. They identified the need for engaged, personalized instruction coupled with strong school/family collaboration in order to create students that were motivated, hungry, and excited about learning, with the skills, habits, and dispositions necessary for college and career success in the 21st century.

The principal also utilized his professional authority to create early, short-term wins. This was done by being cognizant of keeping momentum going. He stated, “You’ve got to keep that momentum ball rolling because otherwise if you get stuck then you’ll lose that momentum and then you lose steam.” Acknowledging success throughout the change process early on is evidence that Principal Smith used



professional authority because he valued teachers' practices and wanted to celebrate that as a way of keeping teachers motivated throughout the change process. Document analysis revealed that during grade level meetings, Principal Smith acknowledged success by highlighting improvements in student data and also by highlighting successful practices that were happening in the classrooms.

Valuing employees in conjunction with professional authority is another change management model that was apparent in the data. While using professional authority the principal was able to gather teacher feedback through surveys about what was going well and what was not. He stated, "We do surveys with the teachers. We have conversations with teachers as well about what's working, what's not working, what needs to be tweaked, and what sort of additional supports they need." All of the teachers noted in their surveys that they felt that the principal was not only open to feedback but he implemented their feedback. Several of them said it made them feel like the principal truly cared about them. Document analysis showed that teachers were surveyed on what aspects of the educational software programs they were utilizing were working, what was not working, and what barriers they needed to overcome to be more successful with the programs. Collecting teacher feedback and implementing survey results shows that the principal cares about teachers' knowledge, expertise, and opinions which is an example of how he utilized professional authority. This also showed that he valued teachers by seeking out their feedback as well as implementing the feedback in his decision making.

Professional authority in combination with establishing a vision statement, engaging key stakeholders, and communication proved to be the most influential ways

that Principal Smith led change in his school. By giving teachers time to collaborate, using teacher feedback, investing in teachers' professional development, and allowing teachers to help create a new vision statement, Principal Smith was able to engage teachers in the change process. He also utilized his professional authority to create change by focusing on communication. He did this by working with teachers to identify what their purpose for change was, communicating the vision to all stakeholders, and providing teachers with time and direction around their work. In addition to the aforementioned change management models, Principal Smith also incorporated creating a sense of urgency, early, short-term wins, and valuing employees. He was able to create a sense of urgency which eliminated complacency and drove teachers to identify what they wanted their school to look like. Once the new vision statement was created and teachers started changing their practices to align with the vision, Principal Smith was cognizant of celebrating early, short-term wins to keep momentum going. Lastly, showing teachers that they are valued by using a tool such as a survey to gather and implement feedback proved to be an important strategy used by Principal Smith as teachers expressed that their voices were heard.

### **Moral Authority**

After professional authority, moral authority was the next most frequently used source of authority by Principal Smith. The researcher organized the data into subsections according to the change management models used most in conjunction with moral authority which were establishing a vision statement and communication. Each

subsection includes teacher and principal data as well as evidence from document analysis.

**Moral authority and establishing a vision statement.** Principal Smith used moral authority in combination with establishing a vision statement as a foundation for leading change initiatives. The common theme found in the data that supports the principal's use of moral authority and establishing a vision statement is the identification of the values and beliefs that define the school as a community. Through the task of creating a new vision statement, Principal Smith also used moral authority by showing that he believes the school community is defined by their shared values, beliefs, and commitments.

Principal Smith identified various reasons why he felt the school could not move forward under the old vision statement. He said,

Before, we were very, very outcomes oriented. We wanted our students to score high. We wanted to be a level one school, which is a big deal in our district. We wanted to make AYP. Those were the things that we chased.

This is evidence that Principal Smith recognized that the old vision statement was very outcomes driven and did not necessarily focus on what the students' needs were. He believed what would inspire and drive people is intrinsic motivation which could only come from their within by identifying their core values and beliefs. To see if the teachers were on the same page as him, Principal Smith engaged them in dialogue about what exactly everyone believed in and what they wanted for Oak Elementary. Their values and beliefs were not in line with the current vision statement. Principal Smith stated, "When

we redid our vision, we put the student at the center of the vision and looked at all of the different things that we felt our kids needed as learners.” This shows that Principal Smith was committed to partnering with the teachers to rewrite the vision statement that reflected what was best for students. Ultimately, everyone’s values and beliefs told them that they wanted to ensure that every student got what they needed to be successful. They wanted to inspire students to become motivated and hungry to learn which would cause students to love coming to school.

This critical discussion that was led by Principal Smith shows how he exerted moral authority. Leaders who prescribe to moral authority not only identify and make explicit the values and beliefs that define the center of the school community, but they also translate them into informal norms that govern behavior (Sergiovanni, 1992). By tapping into teachers’ moral compasses, Principal Smith was able to get them to respond to obligations and duties derived from widely shared community values and beliefs. Teachers indicated that this new vision statement not only inspired them to respond to community values for moral reasons, but their practices also became collective. Ms. Greene (pseudonym), a middle school teacher, wrote in her survey,

I feel like we have a purpose now. Before we just did whole group instruction, worked out of workbooks, and gave tests. Now we know what we want our kids to be able to do and it feels good to see them succeed. Changing up how we do things has made me such a better teacher. I really feel like the teachers are here to work together and do what is best for the kids. I think the kids really want to do their best too.

This quote shows that creating a new vision statement and using moral authority allowed Principal Smith to create a community that responds to values for moral reasons. The teachers at Oak felt morally obligated to change their practices to do what is best for students. Although the school community may not have previously operated this way, the positive change at Oak caused them to value what is right and what is good just as much as they value what works and what is effective.

At the beginning of the change process Principal Smith identified the values and beliefs that define the school as a community based on his use of moral authority and by establishing a vision statement. These values and beliefs were the foundation for the creation of the new vision statement. Using this source of authority in addition to creating a new vision statement was a way for Principal Smith to help teachers to enact change in their instructional practices.

**Moral authority and communication.** Principal Smith used moral authority in combination with the communication change management model most frequently. Two of the common themes that support the principal's use of moral authority and communication are identifying the purpose for change and communicating the vision. These themes show that Principal Smith saw the importance of community norms and values as well as communicating the vision statement.

Principal Smith discussed in his interview how he inspired teachers to change their practice to improve student outcomes. He engaged them in dialogue to determine what their reasons for change were. Through these conversations with teachers, they were able to identify that everyone wanted to change their instructional practices. They wanted

to provide differentiated instruction to all students, but they did not know how. Using this information, Principal Smith was able to engage teachers in more dialogue to tease out the values and beliefs that were underlying in their desires to change their practices. This shows that Principal Smith was utilizing moral authority by seeking to find the core values that were shared among the teachers. Principals who utilize this source of authority seek to identify and make explicit the values and beliefs that define the center of the school community (Sergiovanni, 1992). Identifying these values was the foundation they used to write the new statement. This set the tone for teachers responding to community values for moral reasons.

One way to effectively communicate the vision statement is to repeat it often (Kotter, 2012). Principal Smith was diligent about using frequency to communicate the vision statement. He stated,

We're always describing how our students love it at Oak and all the different things that we do to promote that and all the different examples of things we do throughout the year to support our vision. Any time we have functions here at the school we're speaking our vision. I think our parents now know our vision better than they've ever known the vision of the school.

He added how instrumental the students have been in communicating the school's vision.

I think the absolute most powerful piece is the kids are going home and they are the biggest, best, and most effective communicators of what's going on in the school, for good or for bad. If you're not doing well, they're going to communicate that. When kids have positive relationships with teachers they're

enjoying school and they feel motivated. They're always talking about their goals, they're always talking about what they're working on. They go home with those conversations so the parents get a strong sense that the school is alive and their kids are learning because they're always talking about what's going on at school.

These statements clearly show the use of moral authority with communication because Principal Smith identified and made explicit the school's vision which is derived from the values and beliefs that define the center of the school as a community. He did this by frequently communicating the vision. Repeating a vision is key in allowing for ideas to sink in deeply (Kotter, 2012). The fact that the students are going home and talking about what is happening at schools is evidence that instructional practices have changed the culture of the school. The students are communicating their excitement for learning, their goals, and their relationships with their teachers to their families. This is an indicator that teachers are driven by the vision of the school which has yielded positive change for students.

Document analysis showed that at the beginning of each grade level meeting the principal took a few minutes to reiterate their purpose around the school's vision. The majority of grade level meeting agendas obtained by the researcher also showed that the principal utilized this time to review expectations and norms, analyze data and identify strategies to help students improve, and collaborate around best practices which ensured that the entire team is focused on the vision. This shows that Principal Smith was intentional in communicating the vision statement frequently in order to ensure everyone understood what it meant.

Evidence indicates that Principal Smith thought it was essential to identify a purpose for change as well as communicate the new vision statement based on his use of moral authority and communication. Using this source of authority in addition to communication proved to be a successful strategy for Principal Smith because identifying a purpose for change created a sense of urgency among teachers and was a stepping stone in creating a new vision statement. Principal Smith's use of frequent communication was a key element in communicating effectively because it takes repetition for ideas to sink in deeply. Verbalizing the vision statement at meetings, in passing, on the playground, and at large school gatherings is one way that Principal Smith's communication was successful in winning over people's hearts and minds.

**Moral authority and other models.** Principal Smith also used moral authority in conjunction with other change management models such as empowering employees and valuing employees. When empowering employees, Principal Smith removed barriers in order for teachers to successfully make the changes he was asking for. In addition, he showed that he valued employees by providing teachers with the opportunity to be a part of the highly selective Innovative Education pilot as well as giving them time during the school day to collaborate and do work that has a direct impact on student outcomes.

Principal Smith felt a moral obligation to remove barriers that were in the teachers' way. This is one way that he empowered employees. He felt that asking them to make changes to improve student outcomes would require a lot of dedication and work on the part of the teachers. Specifically, Principal Smith was asking teachers to



implement small group, differentiated instruction as the foundation of their teaching. He stated,

We had to do something different for kids. The main motivation was, we knew that giving the kids the same sort of curricular experiences at the same level just wasn't working. We knew we had to differentiate, but we had to have a system for that differentiation and I think that was our primary motivator to really get us started.

Implementing small group, differentiated instruction proved to be difficult due to the needs of the students. Working with a small group of students while ensuring that the other students were learning when they were not working with the teacher proved to be challenging for teachers. Mr. Frey, Mrs. Greene, and Mrs. Bloom all indicated in their surveys that they felt it was difficult to make sure that the students who were not working in the small group with the teacher were still on task and learning. Principal Smith saw the Innovative Education pilot as a means of removing this barrier from teachers. He asked himself, "How can we leverage technology in order to help make that happen for kids? How can technology do some of the things that teachers just can't do in the course of any given lesson?" Principal Smith dedicated himself to the Innovative Education pilot and to getting his teachers trained on effective ways to use technology in the classroom. Teachers expressed feelings of empowerment by using technology in the classroom. Mrs. Bloom stated in her interview,

The technology has been a blessing. It has made me a better teacher. My kids can log on to the program, get individualized instruction at their level, and I get data that tells me their strengths and what they need to work on.

This is evidence that Principal Smith's decision to remove a barrier that was impeding his teacher's ability to instruct their students paid off as his teachers expressed that they were empowered by the technology implementation that he chose to use. Teachers were now able to work with small groups while the rest of their students worked on educational software programs that were individualized and tailored to their needs.

On multiple occasions, Principal Smith demonstrated the use of moral authority and valuing employees. One example was how he got the Innovative Education pilot group and running. Principal Smith stated that he was intentional about who he selected because he wanted the teacher leaders to feel intrinsically motivated by being in the pilot and also to have them be model classrooms that their colleagues could learn from. He stated,

I think the people that we selected to be a part of the process was an intrinsic motivator of sorts. They knew they were a part of something special. As a result of that, there was some exclusivity involved in that and that brought about some sort of motivation.

This shows that Principal Smith used moral authority by promoting the work of the pilot group as internally felt and morally driven. He wanted teachers to feel that they were a part of something special. Another time Principal Smith showed that he valued his employees while using moral authority is when he stated that he feels it is important to

use his authority by providing teachers work time during the day as well as and direction around their work that is aligned with the vision. He said,

I give them work that is aligned to the vision, whether it's collaborative work, whether it's teachers that are planning multi age lessons, so that they move kids around. Providing teachers with time and direction is probably where I exert my authority the most.

This quote illustrates that Principal Smith valued his employees by providing time during the school day for teachers to collaborate. Teachers noted on their surveys that this made them feel valued because it showed that the principal valued the hard work that they put in to planning and working as a team. The positive praise around Principal Smith providing teachers time during the work day to collaborate and complete other work that has a direct impact on student outcomes is evidence that his use of moral authority has caused teachers' practices to become collective. Collegiality is now internally felt and teachers are responding to shared commitments. Mrs. Bloom stated in her interview, "We are a team and we collaborate together so we can become better at what we do. We do it for the kids. We want them to grow and be successful." This quote from Mrs. Bloom indicates that teachers showed dedication to getting better at their craft in order to increase student performance. Document analysis from grade level meetings shows that 75% or more of the time teachers were given time to work and collaborate around tasks related to the vision. This is indication of the principal using moral authority to show his employees he values them by giving them time to collaborate and work together.

Moral authority in combination with empowering employees and valuing employees proved to be one of the most influential ways that Principal Smith led change in his school. By removing barriers to teaching such as implementing educational software Principal Smith was able to put teachers in the position to successfully teach their small groups while still being able to engage the other students in the classroom. In addition to this, showing that he valued employees by selecting teachers to be involved in a highly selective Innovative Education pilot and providing them time during the work day to collaborate and create lesson plans made teachers feel that Principal Smith valued their hard work and wanted them to be successful. These show that he prescribed to moral authority because teachers were now responding to obligations and duties that were derived from shared values and beliefs that were embedded in the vision statement. This evidence also shows that Principal Smith empowers employees because he removed barriers that were prohibiting them from changing their instructional practices in addition to valuing employees by giving them the opportunity to participate in a highly selective pilot group as well as dedicating grade level meetings to collaborative work time.

### **Impact of Change**

One of the sub-questions of this study seeks to determine the principal and teachers' perceptions of the impact of change on the school. The researcher identified themes that highlighted the perceptions of the impact of change that were pervasive throughout the teachers' data, the principal's data, and what themes were common among the teachers' and the principal's data. The subsections below show the impact of change based on the perception of all the stakeholders.

### **Commonalities Among Principal's and Teachers' Perceptions of the Impact of Change**

An analysis of data suggested that the changes initiated by the principal had multiple impacts on Oak Elementary, including a commitment to the vision, teachers being given more input, more collaboration among teachers, data informed instruction, and positively reinforcing teachers. Each of these impacts of change are explained in the subsections below.

**Commitment to the vision.** A commitment to the vision of the school is one way in which the teachers and principal felt the school had changed. Mrs. Bloom wrote in her survey that the principal created the vision statement by enlisting the help of the entire staff. She said,

We were all given a chance to provide input on the vision statement, emphasizing the skills and strategies that are important for student achievement. The vision statement was composed by the entire staff, therefore, our commitment is to fully follow the vision statement.

This shows that Mrs. Bloom felt that by involving the entire staff, the vision statement created more buy-in which motivated teachers to commit to the vision statement. In addition to Mrs. Bloom, all the teachers wrote in their surveys how involving the staff in the creation of the vision statement had never been done before which caused them to truly believe in the vision of the school. Mr. Frey wrote in his survey that when the principal faced the challenge of implementing change he started out by creating a vision statement that would be impactful. He stated, "The first step for [Principal Smith] was to set a vision and focus for the group to strive for and then to get as many people to help

flesh it out as a team and begin implementation.” This quote shows that teachers noticed that the vision statement was an integral part of the school that outlined what they did as a school. When asked about the teachers’ commitment to the vision, Mr. Frey stated in his interview that everyone at Oak Elementary truly strives to create an environment where their students love coming to school. He noted how the new vision has carried more meaning than it ever has and it is clear that everyone is dedicated to being vision driven. Because of this commitment, the teachers and the principal noticed that there is a change occurring in the way teachers instruct students as well as student performance. Teachers were now using best practices that reflect the values and beliefs embedded in the vision. Because teachers’ practices changed, students’ learning had increased. Teachers indicated in surveys and interviews that they noticed improvements in students’ grades, tests scores, their motivation to learn, and their attitudes toward school. Mrs. Bloom stated in her interview, “Now our kids do the heavy lifting themselves. They are in charge of their own learning. Their scores are going up, they love coming to school, and they are hungry to learn.” The new vision has sparked an inspiration in the teachers, principal, and the students that has caused positive change at Oak Elementary.

The principal also discussed how in the past the vision statement was almost meaningless. By making the decision to have the creation of a new vision statement be a team effort, he saw more buy-in which changed the culture of the school. In his interview, he was asked what the vision is for the school and how it changed from the previous vision. Principal Smith stated,

We made the determination that we want our students to love learning. We actually want our students to be motivated and excited about the learning process and we want them to, when they leave us, to seek further learning opportunities. That became our primary vision and we see our vision in action as we see students that are really, really focused on their learning.

In this statement, Principal Smith showed a commitment to creating a vision that is more meaningful to the school community as well as one that has the students' best interest at heart. The new vision has their values and beliefs embedded in it which not only provides a professional and moral obligation to do what is best, but it also provides clarity around what needs to change in order to do what is best for students. Additionally, Principal Smith highlighted the importance of all stakeholders knowing what the vision is. In order to get people to commit to the vision and buy in to it, they have to know it first. He stated,

First, when I got here, I would ask people the vision and they didn't know it. Now we are always talking about our vision. Throughout the entire organization we talk about how we motivate our kids to want to learn. Everyone here has to know the vision and they know they might be asked by anyone what the vision is and what's their role in achieving our vision.

Principal Smith pointed to the fact that he enlisted the teachers to help him write the vision statement as a key factor in getting them to truly believe what the words in the vision meant. He felt that if he had teachers help create it they would truly believe in it

and would stop at nothing to achieve the vision. Ultimately, the values and beliefs embedded in the new vision statement elicited positive change at Oak Elementary.

Document analysis of grade level meeting agendas showed that meeting objectives were consistently focused around increasing student achievement which is at the heart of Oak Elementary's vision statement. On every meeting agenda is an opening announcements portion that lasts about five minutes. During this time the process/guided question states, "School Vision: Create academic experiences that create a love of learning." Other pieces of evidence from grade level meeting agendas that suggest a commitment to the vision include reviewing software to determine what students like most and least, celebrating student achievement, and designing end of year challenges to keep students engaged and motivated. This is proof that Principal Smith is committed to the vision by providing teachers with a focus on doing work that promotes the vision of the school.

Principal Smith's ultimate goal was to improve student achievement, and by focusing his initial change efforts on creating a new vision statement, he paved the road for future change to happen. Teachers noted that although they still wanted their students to achieve on high stakes tests and get good grades, their primary focus shifted from being driven by numbers to being driven by values and beliefs embedded in their vision statement. Principal Smith echoed this sentiment by stating that after coming together as a group, everyone was able to identify that their goal was for students to love coming to school and to be hungry, motivated learners. Because all stakeholders were committed to the new vision, positive change happened for everyone.



**Teachers are given more input.** Another impact of change described by all participants in the study is that teachers were now given more input. This data was pervasive throughout all surveys and interviews. The teachers stated that they were given more input in various ways including decisions around implementing new curricular programs, decisions around educational software programs, more opportunities for professional development, and providing the principal feedback regarding his decision making.

Both Principal Smith and the teachers expressed that increased teacher input was an impact of change on Oak. Principal Smith noted in his interview that he engaged in conversations with teachers to find out what positive things are happening in their classrooms as well as concerns that they have or supports they need. This shows that Principal Smith was invested in gathering input as part of the change process to inform future decision making. Mrs. Greene wrote in her interview that Principal Smith gave teachers more input around which curricular programs to implement in their classrooms. She wrote, “When we were starting a new curriculum [the principal] first asked if our team was interested in learning more about the program.” This was a change from the past, as teachers were generally told that they would be utilizing a new program. Mrs. Roth (pseudonym), a fifth-grade teacher, wrote in her interview that when looking at implementing a new math curriculum, the principal was constantly checking in with teachers and asking them what the pros and cons of the program were. She wrote,

We liked the new program we were using, but it was pretty labor intensive on the teachers. We also felt that it wasn't the best program for our students. The principal heard our opinions and opted to try out another program.

This data suggests that the principal sought the opinions of teachers when deciding what curricular programs to use in the classrooms. Letting teachers have input around what curriculum they felt was best for their students was one way that Oak changed under Principal Smith's leadership.

In addition to having input around curriculum, teachers were also given more input around what educational software programs they were using and how they were using it. The principal and the teachers all stated in their interviews that it was important to select educational software that was in line with their vision, supported their instructional practices, provided differentiated instruction, and also provided real-time, authentic data that teachers could use to inform their instruction. Principal Smith said, "It was important that students liked the software and wanted to use it, but it was also important that teachers felt it was having an impact on their students and that they could use the data in a meaningful way." This quote indicates that Principal Smith valued the input of teachers because he wanted to ensure that teachers feel the software is having an impact on their students. Mr. Frey noted that some of the teachers felt that certain students were on some of the programs more than they should be. He stated in his interview, "At times, it felt like they were on the programs too much and weren't receiving enough time with the teacher." The teachers talked to Principal Smith and told him their concerns. They showed him the data supporting their concerns and Principal

Smith ultimately supported the teachers in their decision to decrease the number of minutes that some students were spending on the educational software programs. This shows that Principal Smith took into consideration teachers' knowledge and expertise in making the decision to modify the instructional program for students.

Investing in teacher professional development was another impact of change that Principal Smith and the teachers felt was critical. Mrs. Flynn (pseudonym), kindergarten teacher, wrote in her survey "[Principal Smith] supports us in whatever PD opportunities we want to go to. He lets us choose what we need to make ourselves better." Principal Smith hired outside professionals to come in or he assisted teachers in finding professional development that suited their needs. Mrs. Flynn also noted that Principal Smith inquired with teachers about what they needed to become more effective and efficient. Mrs. Flynn said in her interview, "[Principal Smith] is really good at making sure we have what he need to teach." That included ordering materials and supplies, allowing a teacher to experiment with a new program or educational software, or coaching them inside the classroom to give them feedback. Principal Smith also spoke about the importance of professional development. He stated that he wanted teachers to go to other schools and see for themselves what small group instruction and educational software use looked like the classroom. He said, "I would say one of the most powerful forms of professional development is getting teachers out of the building to go see personalized practice." Allowing teachers to leave school to see how other teachers were using differentiated, personalized approaches to teaching by using small group instruction and educational software shows that Principal Smith is committed to building teachers'

capacity. Consequently, more knowledgeable, informed teachers should lead to improved outcomes for students which is the positive change that the principal seeks.

Giving teachers more input by encouraging them to provide the principal with feedback about his decisions was another impact of change noted by the principal and the teachers. Principal Smith stated that he sought the input of the teachers as much as possible. He highlighted the fact that he uses data from teacher surveys to identify what is working well and what is not working well which informs his decision making. When talking about who he seeks out when making decisions he stated, “I’ll pull a small team of people together and just ask them directly what their thoughts on that are. Most of what we do is born from inside. It’s born from our teachers.” This data shows that Principal Smith valued teacher input when making decisions. Additional evidence that concludes that Principal Smith utilized teacher feedback in his decision making came from Mrs. Bloom. She wrote in her survey, “Our feedback was given and I think [Principal Smith] really paid attention to it.” The other teachers also indicated that they felt they were able to give the principal their feedback and they even saw him make adjustments or changes based on that feedback. This evidence from Mrs. Bloom and the other teachers shows that Principal Smith not only listens to teacher feedback, but he also implements the feedback in his decision making around change.

In addition to the surveys and interviews, several documents included data that supported the notion that teachers were given more input. The notes from one middle school grade level team meeting stated that teachers were given input in how they wanted to utilize different instructional approaches to meet students were not performing at grade

level. At a different meeting, teachers shared with the principal what barriers they were encountering in regard to the implementation of a particular educational software program. The principal's response was to offer teachers support by helping them brainstorm strategies they could implement to remove those barriers. Lastly, another meeting indicated the principal wanted teachers input on the benefits of an inclusion model and the drawbacks of an inclusion model. These documents are confirmation that Principal Smith values teacher feedback and implements it in his decision making. This is also evidence that he is dedicated to removing barriers that prevent teachers from being successful by seeking their feedback and coaching them in how to remove those barriers.

Being involved in decision making around executing new curricular programs, decision making around educational software programs, more opportunities to go to professional development, and the ability to provide the principal with feedback about his decisions are all ways that Oak Elementary was impacted by the changes implemented by Principal Smith. By doing this, Principal Smith was able to give teachers more input. Based on teacher data, it is clear that they felt they have more input than previously. They indicated they were involved in decision making, they were able to build their capacity by going to professional development, and they were also able to provide the principal feedback that he does act on when making decisions. These impacts of change have had a positive effect on the school community.

**More collaboration among teachers.** More collaboration among teachers is another impact of change that was present in all participants' data. Principal Smith pointed out the importance of allowing teachers to have time to collaborate and discuss

what is working and what is not working in order to make proper changes. He said, “When we get together we talk about how things are going. We strategize together when things don’t work.” This shows that Principal Smith was dedicated to working as a team to create change as opposed to working in silos. Every teacher stated that they are now given time during grade level meetings, all school meetings, and professional development to discuss with other teachers what was working in their classrooms. Mrs. Greene wrote in her survey that she appreciated having time during grade level meetings to work collaboratively with her team to design units and lesson plans, reflect on their instruction, and share what teachers are doing in their classrooms. In addition to this, Mr. Frey wrote in his survey,

[Principal Smith] shifted the way the grade level meetings were run so that we now were working on things that affected our classrooms. The changes made it imperative that the teachers worked together and created supports for each other and made the grade level teams cohesive and focused on the shared goal of creating environments that celebrated learning and achievement.

This evidence shows that Principal Smith made the decision to use grade level meetings as a time for teachers to collaborate and share strategies to improve their instruction.

Document analysis shows that during many grade level meetings, teachers were given time to work as a team to plan for instruction. Teachers indicated that having this time built into their work day to collaborate and work on lesson plans made them feel that their work is valued. During several grade level meetings, teachers were asked to post data to the Google Classroom showing positive student growth. Teachers were able to

look at each other's data and engage in a conversation around what strategies were working in their classrooms. All of this impacted change by allowing teachers to have a voice in decisions around new programs, choice in their professional development, and feeling safe in providing the principal with feedback about the change that was occurring.

Giving teachers more time to collaborate is an impact of change noted by Principal Smith as well as the teachers. Providing time during grade level meetings, after school meetings, and during professional development days has allowed teachers to spend more time working together to improve their practice. The teachers are able to help one another come up with strategies when things were not working and lean on each other as thought partners. This has proven to be a successful impact of change on Oak.

**Data informed instruction.** Another impact of change that resonated with all participants was the use of data informed instruction. All five teachers surveyed indicated that data informed instruction positively impacted change in the school. Mr. Frey stated that Principal Smith was very helpful when it came to using data to inform instruction. He wrote in his survey,

The principal will work with the teams on interpreting and using the data to drive instruction. He will conference when needed or when a teacher requests it and is always open to coming into the classroom and coaching. He will also often try to find tools or techniques that we can use in our practice.

This shows that Principal Smith supported his teachers in using data to inform their instruction by working with teams and individual teachers to interpret and use the data. Mrs. Flynn also talked about the importance of data in her interview. She stated that in

her class she was using various educational software programs and found one of the benefits to be that she could use the data to inform her instruction. When asked why she thought data was informing her lessons better she said, “Because what would happen, was you could see specifically what was going wrong.” This shows that she was using data to identify areas she needed to focus on with her students. Utilizing more targeted instruction is one way that teachers were able to improve their practices.

Principal Smith also talked about data informed instruction as an impact of change. In regard to how he uses data to help support teachers during grade level meetings he said,

It’s a lot of meeting, a lot of tweaking, a lot of pulling any sort of metric you can. Whether it’s educational software usage with a specific program we’re utilizing, whether it’s a qualitative element that we want to see in kids with their new independence with an autonomy over their work.

This quote indicates that Principal Smith expects teachers to use various forms of data when planning their instruction. He also discussed assembling a team of teachers who could carry out changes for Innovative Education pilots. He stated that it was important to identify someone who was data savvy and who could model for other teachers what best practices looked like when using data to inform instruction. This is evidence that Principal Smith values the use of data to inform instruction and wanted to support teachers in using data by highlighting teachers who could model quality data usage.

Document analysis showed that the 85% of grade level meeting agendas collected by the researcher had some indication that data would be used during the meeting to



discuss or plan for instruction. This shows that Principal Smith used data driven dialogue protocols and data deep dive worksheets to guide teachers through techniques to talk about and look at data to enhance conversations around how to use it to inform instruction. Data came from educational software programs, test scores, in class assignments, and surveys. Teachers worked together to use this data to identify what was going well and what their barriers were. Then they collaborated to tackle the barriers prohibiting them from being successful by offering suggestions as to how they could change their practices. Using data to inform their instruction was one way that Principal Smith and teachers felt Oak was changing for the better.

Using data to drive instruction was an impact of change that the teachers and the principal both felt was important in the change process. Teachers indicated that using data during their meetings was helpful in informing their instruction. They specifically highlighted how the use of data from educational software gave them real-time data that was instrumental in helping create lesson plans. Principal Smith showed that he was dedicated to using data by consistently incorporating it into meetings and professional development. This impact of change helped the teachers at Oak be more intentional in their instruction which was one factor that led to an improvement in student performance.

**Teachers are positively reinforced.** The teachers and the principal both indicated that an impact of change on the school was that teachers were positively reinforced. Teachers stated that they were positively reinforced in several ways: verbal or written praise, school-compensated luncheons or dinners, stipends for teacher leadership, and positive feedback on classroom observations. Mr. Frey wrote in his survey,

The principal will often give verbal praise to the team and when we have success and will highlight some individual achievements during meetings. He would often send emails to the teams or groups when we have hit some goals or benchmarks or to share praise that he has received on our teachers.

The evidence from Mr. Frey's survey shows that Principal Smith strives to acknowledge teachers' hard work and success to positively reinforce them. Additionally, Mrs. Bloom said in her interview,

At first, he wasn't a praising person, but he realized that you need it. You need to know you're doing well. He did one-on-one, with the team, and with the whole school. He gave us kudos in front of students too.

This shows that although Principal Smith may not have understood the value of praise when he started, he changed his practice to ensure that he was acknowledging teachers' hard work throughout the change process.

Principal Smith stated that positively reinforcing teachers was something that he needed to do to keep momentum going throughout the change process when implementing the personalized learning pilots. He stated, "You have to have several of those small victories to keep folks excited, to keep them motivated, particularly when he hit road blocks because when you hit a road block, it's easy to say that it isn't working." This indicates that celebrating small victories is one way that Principal Smith positively reinforced teachers in order to keep momentum going throughout the entire change process. He also identified other ways in which he positively reinforced teachers. He talked about providing them with lunch and breakfast paid for by the school. He would

purchase food for teachers as much as he could to show them their hard work was appreciated. He also provided stipends for teacher leaders in the Innovative Education pilot as they had more responsibilities given their leadership roles.

Document analysis showed that on various occasions teachers were given praise for positive things happening in their classrooms. For example, a grade level meeting agenda showed that teachers were asked to post positive classroom data to the Google Classroom. On that same day in a different grade level meeting, groups of teachers worked with the principal to plan a celebration because they won the Innovative Education grant for \$280,000. Both of these are examples of positive reinforcement for teachers by recognizing and praising the work they put into changing their instruction to improve their practice.

All participants identified a commitment to the vision, teachers being given more input, utilization of data informed instruction, and teachers being positively reinforced as impacts of change. A commitment to the vision was the driving force behind all of the change at the school. Once teachers were committed to the vision, Principal Smith was able to guide their work around ensuring they were aligned to those beliefs. With that came teachers being allowed to have more input and more time to collaborate. During these collaboration times data was used to guide teachers in their planning. Because teachers were using data to inform their instruction they were seeing improvements among students. Evidence shows that it was clear that teachers were putting in hard work to change their practices which is why Principal Smith found ways to positively reinforce them. All of these factors worked together to promote recognizable change at Oak.

### **Principal's Perception of the Impact of Change**

The researcher analyzed the principal interview data to determine his perception of the impact of change on Oak Elementary. These impacts of change were removing barriers for teachers, teachers becoming more reflective, and trust. Each of these impacts of change are explained in the subsections below.

**Removing barriers for teachers.** The aforementioned perceptions of the impact of change that were common among Principal Smith and the teachers--allowing teachers to provide input, allowing them choice in their professional development, allowing them more time to collaborate, and positively reinforcing them--are all ways in which Principal Smith removed barriers for teachers in order for them to be successful in the change process. In addition to this, data analysis showed evidence of Principal Smith removing barriers by providing teachers the opportunity to lead the charge of the Innovative Education pilot and remove barriers that stood in their way. Removing barriers such as inefficient processes and identifying gaps to being successful provides the freedom necessary to work cooperatively in teams and generate real impact (Kotter, 2012).

When Principal Smith was asked how he inspired his teachers to change their practice during the Innovative Education pilot he discussed how he transformed teachers into risk takers. The researcher then asked him to talk about teachers who were reluctant to become risk takers or buy into his change initiatives. He stated that he identified teachers who were suited for change and allowed those people to lead the charge. He asserted,

I think allowing these risk takers to shine and collaborate with their colleagues empowered them. They felt inspired and special because they were leading the way. The program flourished this way and it spread because we showed how you could be successful.

This shows that Principal Smith removed barriers in order for teachers to be successful by allowing teachers to task risks, promoting their strengths, and providing them with leadership opportunities. This not only showed teachers that they were able to try new things in a safe environment, it also conveyed the message that teachers' knowledge and expertise is valued.

Being intentional and transparent in regard to communication is another way that Principal Smith removed barriers in order for teachers to be successful. He stated,

We always keep those lines of communication open so that we know that something we're trying to put in place is actually viable and is actually not going to be too heavy of a lift. Is there something that we need to take away in order to add something or to make any decisions that need to be made?

This quote is confirmation that Principal Smith removed barriers for teachers in order for them to focus on doing the best job possible in order to enact change in their classrooms. He did this successfully by using communication to problem solve with teachers. Removing barriers gives principals an enormous power to create change and create a critical mass of people who can provide leadership to elicit change (Kotter, 2012). In this case, Principal Smith's critical mass of people was the teaching staff.

Another way Principal Smith removed barriers in order for teachers to be successful is by creating opportunities for powerful, purposeful peer interaction. This was done by providing teachers more time during the day to collaborate with one another. Teachers analyzed data together, created lesson plans together, and brainstormed with one another to identify strategies that their colleagues could use when facing challenges in the classroom. Fullan (2008) asserts that leaders must provide direction by creating opportunities for purposeful peer interactions and they must also step-in along the way if things are not working as well as they could be. Principal Smith stated,

I think that giving teachers time to work together during the school day is valuable. They get to collaborate and learn from one another and it shows in their teaching. Now you see teachers using strategies that they learned from their colleagues.

This shows that Principal Smith wants to remove barriers such as lack of time to collaborate with one another in order to set the teachers up for success. This allowed Principal Smith to remove barriers by building capacity through knowledge-creation and knowledge-sharing.

Creating teacher leadership opportunities and removing barriers for teachers are some of the ways that Principal Smith elicited change. Letting teachers shine by demonstrating their knowledge and expertise is one way that he removed barriers. In addition to this, helping teachers identify what was not going well in their classrooms as well as ways to fix it was another way that Principal Smith promoted success in the

change process by removing barriers. This allowed him to eliminate some of the disadvantages of change and create more advantages which is critical if you want to truly empower employees (Spiro, 2011). Ultimately, these actions taken by Principal Smith were effective in creating change for teachers and students.

**Teachers became more reflective.** Principal Smith highlighted how teachers are more reflective as one impact of change. When asked how he inspired his teachers to change their practice to improve student outcomes, he stated, “I think it was taking things in bite size chunks for teachers to allow them to think about making small change.” In this case, he noted that allowing teachers time to think about the change is a means of being reflective. Principal Smith stated,

Giving them time to talk during meetings, and actually vocalize what was going on in their classrooms, allowed teachers the freedom to reflect on their practice.

They could talk about what was going well, and if they needed help or wanted to strategize they could reach out to their colleagues.

This indicates that Principal Smith wants teachers to engage in self-reflection in order to identify how to improve instruction in their classrooms. He also discussed teachers being more reflective when he was asked about what his vision is for the school. He talked about enlisting teachers as a partner in writing the vision statement. He noted that it was their reflective contributions that added value to the process. He said,

I think the teachers, they had to do some reflecting on what exactly it was that they believed in. What kind of school did we want this to be? They had to dig down and really reflect on what that meant to them.

Promoting the act of reflection was one strategy that Principal Smith employed to encourage teachers to identify their beliefs which would drive their desire to change their practices. Throughout the change process, teachers were being introspective and also having conversations with their colleagues about their practices. They talked about what they were doing, what they wanted to be doing, and often reached out for help in identifying a plan to get where they wanted to be.

Becoming more reflective is one impact of change that had positive effects on teachers. These positive effects were: identifying things working well in their classrooms and things that were not working well, using reflections to inform their instructional plans, and working together to become better teachers. Engaging in reflection promoted an increase in student achievement because teachers' practices were improving because their instruction was positively changing.

**Trust.** Trust was another impact of change that Principal Smith discussed in his interview. When asked about how he inspired teachers to change, he discussed how he was intentional about creating a safe space for teachers to be risk takers and said, "It was constant selling, constant making teachers feel safe and transforming teachers into risk takers, which was a challenge." Making teachers feel safe was one tactic that Principal Smith felt was integral in building a trustful relationship. Another piece of evidence that shows trust as an impact of change is when the principal discussed communication. He stated,



You have to communicate with people. If you don't keep them informed and you aren't open and honest with them, you will never establish lines of trust. When you communicate and keep people in the know, they trust in that transparency.

This shows that Principal Smith values communication and finds it to be an intentional practice in order to establish trustful relationships. By using verbal and written communication, he was able to constantly communicate the vision, guide teachers around designing their instruction and their practices to support the vision, and establish positive, trusting relationships by being open, honest, and transparent around expectations and what was happening in the school.

Overall, Principal Smith felt that removing barriers in order for teachers to be successful, teachers becoming more reflective, and trust were all critical in the success of the change process. Removing barriers for teachers required the principal to allow them to provide their input, allow them to have choice in professional development, provide time to collaborate with colleagues, and acknowledge their hard work and success through positive reinforcement. In addition to this, Principal Smith identified that teachers were more reflective because he sold them on the idea of change by taking small steps, he provided them time for reflection, and he utilized their reflective conversations in order to create a new vision statement. Lastly, trust was identified as an impact of change by Principal Smith because he was able to create a safe space for teachers to dialogue with him and take risks, implement teacher feedback that he received, and constantly communicate with teachers. All of this evidence indicates that Principal Smith's perceptions of change not only empowered teachers by removing barriers but

also changed their practices which allowed them to reflect and grow. Teachers are now using small group instruction and technology implementation to create students who love learning. Because teachers are now driven by the vision statement and have trust in Principal Smith, they are committed to best practices that he put in place.

### **Teachers' Perception of the Impact of Change**

The researcher analyzed the teacher interview data to determine their perception of the impact of change on Oak Elementary. The analysis of data from the teachers suggested that impacts of change were improvement in practice by using different instructional strategies, increased student achievement, and increased technology implementation. Each of these impacts of change are explained in the subsections below.

**Improvement in practice by using different instructional strategies.** Data showed that all five teachers felt that their practice improved by using different instructional strategies. One way of using different instructional strategies was through a push from Principal Smith to utilize small group and differentiated instruction. Principal Smith stated, "When I first got here I observed teachers using whole group instruction. Every student got the exact same curriculum. It wasn't working." He knew they needed to shift to a more student-centered model of teaching and learning where the needs of the student were at the forefront. Regarding a shift to a more student-centered approach, Mrs. Greene wrote in her survey, "Small group instruction and differentiated instruction was emphasized as well as a consistent review of data to improve instruction." This indicates that implementing new instructional practices that were student-centered was a priority for Principal Smith as a means of improving instruction. The rest of the teachers also

indicated in their surveys that they felt the shift from whole group to small group instruction was beneficial. They recognized the change that they made in their instruction was having a positive effect on what students were learning and how they were learning. Students were now receiving instruction at their level which was allowed them to progress faster than they would if they were receiving instruction that was too easy or too difficult.

Teachers also identified other ways their practice improved. Mrs. Bloom wrote in her survey, "Through the principal's leadership, I have improved my practices, and now the students do most of the work." This quote illustrates that teachers were dedicated to becoming better teachers by raising the expectations for their students. She added that teachers now expect students to take ownership over their learning by advocating for themselves as well as setting and tracking goals. Mrs. Roth echoed what Mrs. Bloom stated. She wrote in her survey,

I think I am a better teacher. Now I think about how I am teaching. I do small groups, and I even change the groups all the time based on what the kids are doing in the class. It feels good to change for the better and actually see the students achieving more than ever.

This is evidence that instructional practices have shifted toward best practices that elicit increased outcomes for students under Principal Smith's leadership. A shift from whole group instruction to small group, differentiated instruction allowed for a more student-centered approach to teaching and learning which had a positive effect on student performance.

Document analysis showed that teachers brought various forms of data to grade level meetings and were given time to collaborate to review the data and identify various instructional strategies they could use in the classroom. During one grade level meeting, teachers focused on identifying 1-2 strategies that teachers could use who students who were performing below, at, and above level. This impacted change by allowing teachers to identify different instructional practices that they could use in their classrooms to improve student outcomes that were based on authentic, meaningful data.

Improvement in practice by using different instructional strategies led to positive change at Oak Elementary. The teachers indicated that Principal Smith's leadership was critical in inspiring them to utilize small group, differentiated instruction. Because they shifted their instructional practices, students were now receiving instruction at their levels. Increases in students' grades, test scores, and overall attitudes about school was proof that the change efforts were not only working, but were also worth the challenges encountered during the change process.

**Increased student achievement.** Increased student achievement is another impact of change that teachers identified. All teachers stated that their students' achievement improved because students take more responsibility for their learning, teachers changed their practices, and teachers now use data to inform their instruction. Mrs. Greene wrote in her survey, "On any given day an observer will see students that are engaged and can articulate what they are learning and why." Along the same lines, Mrs. Roth wrote in her survey, "Our children are taking more responsibility for their learning. The students' data shows improvement." Mr. Frey indicated that Principal Smith works

with individual teachers as well as teacher teams to analyze and interpret data so they can use that to inform their lesson plans. This evidence from teacher surveys is confirmation that Principal Smith believes in supporting teachers in using data to inform instruction. Mrs. Bloom also felt that increased student achievement can be tied to an increased use in data and an increase in students taking responsibility for their learning. She wrote in her survey,

The principal inspired me to change my practices by encouraging me to have the students to do the heavy lifting. This means, making the students more accountable for their learning. I have changed my practices and now the students do most of the work. Due to the fact that students have a say in their learning, they are more vested and work harder. The students are constantly reflecting on their learning process and conference with their teachers about strengths and areas of growth. The data helped me to fill in what was lacking and plug in holes. I still provide small group instruction for other holes.

This data is evidence that teachers recognize that Principal Smith was intentional around using data to help teachers inform their instruction and change their practices to elicit change. Because Principal Smith pushed teachers to get their students to take more ownership over their learning, students are now more invested in their work and are reflective about their learning.

Increased student achievement was perceived by the teachers as a result of the change process led by Principal Smith. Teachers indicated they were inspired to change their practices. As a result of changing their instructional practices, teachers noted a

change in the students. They stated the students are more engaged than they have ever been, students can articulate what they are learning, and they are taking more responsibility for their learning.

**Increased technology implementation.** Another impact of change that was noted by teachers was an increase in technology implementation at Oak Elementary. Every teacher highlighted how the principal made a concerted effort to make sure that teachers and students had access to technology. Mrs. Flynn stated in her interview, “He came in and got rid of the old tech that didn’t work. He made sure to get new stuff for the kids and for us. It’s been so helpful for learning here at Oak.” This shows an impact of change by valuing the need for teachers and students to have quality, working technology to utilize to enhance their teaching and learning.

Teachers also noted how Principal Smith dedicated his change efforts to working with Innovative Education to pilot educational software products and personalized learning. In order to participate in the pilot, students needed access to devices such as laptops or tablets so they could log on to various educational software products as well as Google Classroom. Mrs. Flynn wrote in her survey, “The principal noticed that we could get to Level 1 by utilizing technology.” In addition to this, Mrs. Bloom also wrote in her survey, “Technology is used to enhance student learning and support various learning styles, in addition, involving all stakeholders in the academic progress of all students.” Grade level meeting agendas support teachers’ claims about the use of technology as the majority of agendas show the use of educational software data, collaboration on how to use Google Classroom, and best practices around technology in the classroom.

Document analysis also showed that on a weekly basis, teachers brought their laptops to grade level meetings to access Google Classroom in addition to accessing data from educational software products which was a new practice implemented by Principal Smith. Incorporating Google Classroom was one way for Principal Smith to model how to use to program because he expected teachers to use it with their students. Every week teachers got to engage with the program as a learner so they were able to see what the experience was like for their students. This confirms that Principal Smith not only says he values technology, but he shows he values technology by providing teachers with the tools they need to be successful and integrating technology into all facets of the school.

Overall, the teachers felt that utilizing different instructional strategies, increased student achievement, and an increase in technology implementation were all critical in the success of the change process. All of the teachers who participated identified the shift from whole group instruction to small group instruction as a key factor in the change process. In addition to this, they noted that students taking more responsibility for their learning was instrumental in increasing achievement. This was one way in which they shifted their instructional strategies. The increased technology implementation was another way they used different instructional strategies which ultimately led to increased student achievement scores due to educational software program utilization. All of this evidence indicates that teachers' perceptions of the impact of change positively affected their practice as well as student achievement at Oak.

### Summary

In this chapter, the researcher presented the findings from one principal interview, five teacher surveys, three one-on-one teacher interviews, and document analysis. The principal was interviewed regarding how he led change in his school by using sources of authority and change management models. The teachers were surveyed and interviewed regarding how the principal led change as well as their perception of the change. The researcher will use the interview, survey, and document analysis data collected to discuss common themes and answer the following research questions in the next chapter:

- How does one elementary school principal lead change by using Sergiovanni's five sources of authority and effective change management models?

Additional sub-questions that support the main question include:

- What are the principal's and teachers' perceptions of the impact of the change on the school?
- What sources of authority and change management models does the principal use to lead change in their school?
- Which sources of authority and change management models are used most and why?



## CHAPTER V

### DISCUSSION

This study examined how one principal led change and how the principal and the teachers perceived the impact of change. The principal in this study discussed various leadership and management strategies that he used to create change to improve student performance in addition to discussing his perception of the impact of change. Teachers also shared their perceptions on the principal's leadership that led to impactful change.

Through the use of qualitative research methodology, the researcher interviewed the principal at Oak Elementary, surveyed five teachers at Oak, and interviewed three out of the five teachers that were surveyed in order to answer the following research questions:

- How does one elementary school principal lead change by using Sergiovanni's five sources of authority and effective change management models?

Additional sub-questions that support the main question include:

- What are the principal's and teachers' perceptions of the impact of the change on the school?
- What sources of authority and change management models does the principal use to lead change in their school?

- Which sources of authority and change management models are used most and why?

The purpose of this chapter is to summarize the findings of the data collected during the interviews and surveys. Additionally, the limitations of this study, implications for the field of administration and supervision, and need for future research will be discussed.

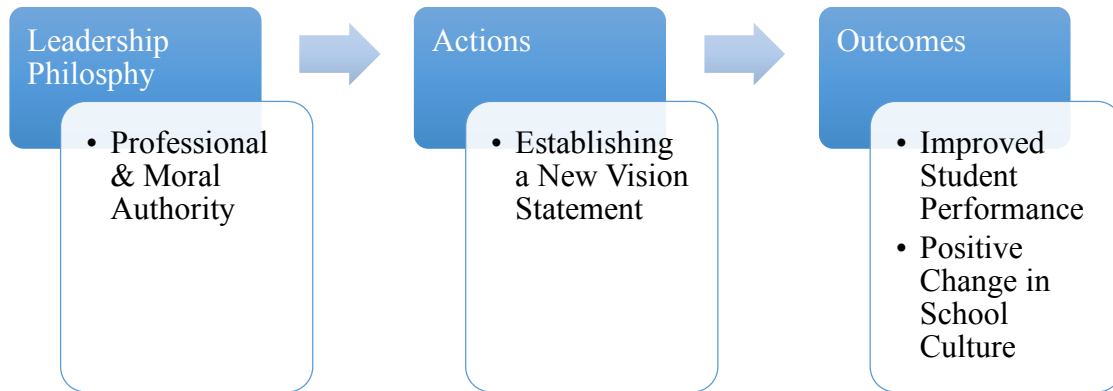
### **Summary of Findings**

This study found that Principal Smith was successful in leading change at Oak Elementary because he used professional and moral authority as his primary sources of authority. In addition to using these sources of authority, Principal Smith was also successful in leading change because he established a new vision statement. The underlying theme of these findings shows that teachers at Oak Elementary are now responding from within as opposed to responding because of what is imposed on them. When teachers respond from within they align their actions and beliefs with what is right as opposed to their self-interests (Sergiovanni, 1992). Responding from within, or being intrinsically motivated, was the most important factor in creating change at Oak Elementary. Because teachers are now responding based on what is right as opposed to what they are told to do, student performance has improved and there has been a positive change in the school culture.

Nearly all of the data collected highlighted the positive changes that happened due to the principal's leadership philosophy and the actions he took. The teachers shared few negative remarks in their surveys and interviews. These remarks showed that the

principal was growing in his leadership and changing as he established relationships with the teachers.

The researcher concluded that Principal Smith's philosophy of leadership was shaped by his use of professional and moral authority. This was evident in the actions that he took to create change. Most importantly in this study, the action of establishing a vision statement proved to be critical in motivating teachers to respond from within. Ultimately, the impact of change and the outcomes were a direct result of Principal Smith's leadership philosophy and his actions. The impacts of change that were most important in this study were more collaboration among teachers, empowering teachers by utilizing teacher feedback when making decision, and investing in teacher's professional development. This led to an increase in student performance and a positive change in school culture. Figure 9 illustrates how Principal Smith's leadership philosophy and actions led to the impact of change and outcomes. The summary of findings will focus on how Principal Smith's leadership philosophy and actions had a positive impact on change at Oak Elementary. The intersectionality of leadership and management strategies was integral in the change process.



*Figure 9. Philosophy, Actions, Outcomes*

### **Leadership Philosophy**

This study found that Principal Smith utilized professional and moral authority the most throughout the change process. Sergiovanni (1992) stated that principals should base their leadership practices on professional and moral authority because they create a response in teachers that comes from within instead of being imposed. Data from this study supports the fact that Principal Smith wanted teachers to respond from within in order to create change, hence the reason he prescribed to professional and moral authority the most.

**Professional authority.** Principals who prescribe to professional authority value teachers' expertise and their professional knowledge (Sergiovanni, 1992). Principal Smith showed that he valued teachers' expertise and professional knowledge by

accepting and implementing their feedback. Research shows that involving teachers in decision making can lead to change that encourages good teaching for all students (Weiss & Cambone, 1994). The teachers in this study stated that feeling a part of the decision-making process was important to them because they felt their voices were being heard and that their expertise was respected. This also proved to be a means of establishing a trusting relationship. Trust between the principal and teachers is important as evidenced by research that shows that trust makes it more conducive for individuals to engage in and sustain activities and tasks that are necessary to affect improvement (Bryk & Schneider, 2002). Teachers knew that the principal thought highly of them because he acted on their feedback. They felt that they could share anything with him without fear of being reprimanded or shut down. Allowing teachers to have a voice in the decision-making process was a critical way that Principal Smith was able to get his teachers to respond from within and utilize their intrinsic motivation to do what is best for students.

Principals who prescribe to professional authority also provide teachers with professional development opportunities based on their individual needs (Sergiovanni, 1992). The principal does this because they believe that teachers' have the potential to be masters at their crafts. Learning is what schools are all about which means the principal must understand teacher learning and growth is critical to student learning and development (Bredeson, 2000). Principal Smith provided teachers with more opportunities to attend professional development than they had ever received at the school. He gave teachers choice in what they attended because he knew each teacher had to build their capacity in different areas. Because he utilized these professional authority

leadership strategies, teachers began to respond from within. Their actions were a result of doing what they thought was right and what was good because they believed in the direction the principal was leading them. Trusting the principal and believing that he valued their work was critical in getting teachers to respond from within. Although trust alone does not guarantee success, schools with little or no trust have little chance of improving (Bryk & Schneider, 2002).

**Moral authority.** Principals who prescribe to moral authority identify and make explicit the values and beliefs that define the center of the school as a community and then translate these values and beliefs into norms that govern behavior (Sergiovanni, 1992). Teachers respond to these shared commitments because they do what is good and what is right as opposed to what works. One of the first things Principal Smith did to begin the change process was to engage teachers in a dialogue to identify their values and beliefs. He translated those values and beliefs into norms by using them as the foundation for the new vision statement. Once this was done, teachers began aligning their work to their shared values and beliefs. Principal Smith and teachers both noticed that everyone was responding in light of what was best for students. Teachers were changing their practices, using data to inform their instruction, collaborating more, and working with the principal to provide feedback on barriers that were in their way. Principal Smith made a concerted effort to guide teachers work so that it was aligned to their values and beliefs. Because he utilized moral authority leadership strategies, teachers now responded from within. Their motivation was intrinsic because they were driven by their values and beliefs. If that meant they needed to attend professional development to increase their

capacity they were willing to do that. If it meant they had to collaborate with other teachers to figure out new strategies to use in the classrooms they were willing to do that. Teachers were even willing to constantly revise and edit their lesson plans as they used real time data from educational software programs to inform their instruction. All of these changes were a result of Principal Smith's use of moral authority to drive teachers to respond from within.

Because Principal Smith used professional and moral authority as his primary sources of authority, he approached the change process from a unique standpoint. Instead of giving directives and imposing his ideas on teachers he showed that he respected teachers' expertise, knowledge, values and beliefs. By confronting change from the standpoint of professionalism and what is morally right, Principal Smith was able to establish trust with teachers. Teachers saw him as someone who respected their practice and wanted them to improve not only for the betterment of students, but for the betterment of themselves. These leadership strategies inspired teachers to respond from within because they believed in Principal Smith and knew that they were doing what was good and what was right for students.

### **Actions**

Principal Smith's use of professional and moral authority shaped his actions. One of the most important ways that his leadership philosophy impacted what strategies he used to create change was by inspiring him to evaluate the vision statement that was in place when he was hired. This vision statement was focused heavily on test scores, being Level 1 status in the district, and meeting AYP. Principal Smith knew that this vision

statement was purely driven by numbers and outcomes and not what was best for students. In order to determine if the teachers felt the same way, he engaged them in conversations about what they valued and believed. This conversation shows that it was clear that their values and beliefs were not in line with the current vision statement. Principal Smith decided that it was necessary to create a new vision statement as a team. He knew that the creation of a new vision statement would act as a foundation for school-wide change. Without a new vision statement, there would be a lack of direction and no shared tenets of practice that were acceptable among all teachers. Research shows that principals feel that the primary function of their vision statement is to provide the school with direction, focus, and purpose (Stemler, Bebell, & Sonnabend, 2011). This new vision statement was the driving force behind change that promoted teachers to respond from within. Aligning their work to a statement that was based off of their values and beliefs gave teachers the motivation to act on those words because they had meaning to them. Establishing a vision statement proved to be important because not only did it inspire teachers to respond from within, without this first step, the rest of the change would not have had a purpose.

Principal Smith's decision to establish a new vision statement was inspired and guided by his primary sources of authority, professional and moral authority. This new vision statement provided teachers with a sense of purpose as to why they should change and how they would do it. They found meaning in the vision statement because not only did they help create it, but it was designed based on their values and beliefs. This statement was the driving force behind the intrinsic motivation for teachers to change in



order to improve student performance. Little did they know, the new vision statement and their decision to respond from within based on what is good and what is right would impact more than just student performance.

### **Outcomes**

Principal Smith's use of professional and moral authority combined with the decision to establish a new vision statement led to positive change at Oak Elementary. This study revealed that most significant impacts of change were more collaboration among teachers, empowering teachers by utilizing teacher feedback when making decisions, and investing in teacher's professional development. These impacts of change all led to two significant outcomes that can be attributed to the principal's leadership philosophy and his actions. Those two outcomes were improved student performance and a positive change in school culture.

**Improved student performance.** Increased teacher collaboration was an impact of change that led to teachers responding from within and increased student performance. Principal Smith was intentional about creating opportunities for teachers to collaborate and work with one another in order to give them the ability to share instructional strategies, lesson plans, and other ideas to improve their practice. Many of these opportunities occurred during the day in grade level meetings or other planning meeting times. This is important because research says that teachers need sufficient time to meet and the school schedule must be arranged to encourage rather than impede collaborative efforts (Sergiovanni, 1992). Also, teachers' rates of improvement increase faster if they work in a school that values and engages in quality teacher collaboration than they would

if they worked in a school with little to no collaboration (Ronfeldt, Farmer, McQueen, & Grissom, 2015). Teachers at Oak Elementary all agreed that working together as opposed to working in isolation made them better teachers which led to gains in student achievement. Studies show that teachers are shifting from viewing their practice as a solitary activity that is owned personally by each teacher toward a view of teaching as a professional activity open to collective observations, study, and improvement (Kedzior & Fifield, 2004). The teachers implemented the strategies and knowledge they gained from their colleagues and when they put it into place, they saw an increase in student performance based on classroom assessments and school wide assessments. Schools that have teachers who engage in better collaboration have higher achievement gains in reading and math (Ronfeldt et al., 2015). When trying to implement change, success depends on the behavior of teachers, and when good teachers work together, they support one another's journey toward better instruction (Kohm & Nance, 2009). Becoming better teachers through collaboration was an important impact of change that inspired teachers to respond from within which led to an increase in student improvement.

Implementing teacher feedback was another impact of change that led to increased student performance. With mandates, standards, and high stakes testing being the new normal in education, many teachers feel as though they cannot engage in dialogue with their principals around decision making (Glover, 2007). Principal Smith knew it was important to accept and implement teacher feedback into his decision making. He did this not only to inspire teachers to respond from within based on what is good and right for students, but also to promote an increase in student performance.

Although Principal Smith's use of professional and moral authority led to positive change at Oak Elementary, his knowledge of what was best for students was somewhat limited because he is not a classroom teacher. Teachers have detailed knowledge about students and curriculum which means that decisions that they are a part of are grounded in a profound understanding of the context leading to wiser decision making (Weiss, 1992). Principal Smith made a point to survey his teachers as well as accept feedback on an informal basis. He knew that his teachers' knowledge and expertise about what was best for their students and what barriers they were facing was the best way that he could get feedback to help inform his decision making. Teachers noted that this made them feel their expertise was valued and important. This led them to respond from within as they believed their feedback was important to the principal's leadership philosophy and actions. Teachers also noted that when the principal listened to their feedback and made decisions based on what they thought the students needed they were able to remove barriers that prohibited them from being successful. This created opportunities for teachers to be successful in their classrooms which led to increased student success because teachers were giving students exactly what they needed. Utilizing teacher feedback in decision making was an important impact of change that inspired teachers to respond from within which led to an increase in student improvement.

Investing in teachers' professional development was another impact of change that led to increased student performance. Who principals are as people, what they value, and their will and capacity has a significant influence on teacher professional development (Bredeson, 2000). Principal Smith stated that he made a concerted effort to

bring professional development opportunities to the school, send teachers to other schools in the district to see best practices in action, and allow teachers' choice in seeking professional development opportunities that best fit their needs. This is important because studies show that professional development should respond to teachers' self-identified needs, should be aligned with the school's goals and vision, and should be collaborative with their peers (Kedzior & Fifield, 2014). Teachers indicated that these types of professional development opportunities were integral in improving their practices. Research shows that professional development has been proven to increase teachers' capacity which has positive effects on student learning in the classroom (Kedzior & Fifield, 2014). In fact, teachers who receive substantial professional development, approximately 49 hours, have shown that it is possible to raise student achievement scores by upwards of 21 percentile points (Yoon, Duncan, Wen-Yu Lee, Scarloss, & Shapley, 2007). Teachers at Oak felt that because Principal Smith was willing to invest in their professional development, he truly valued their craft and wanted to see them be successful. This inspired teachers to be motivated intrinsically because they felt the principal believed in them and was willing to invest in their practice. Providing teachers with more professional development opportunities was an important impact of change that inspired teachers to respond from within which led to an increase in student performance.

**Positive school culture.** Allowing teachers time to collaborate created a positive change in school culture. Teachers indicated that prior to Principal Smith being hired at Oak Elementary they worked in isolation. Privatism and isolation are norms that often

characterize most schools which keeps teachers apart (Sergiovanni, 1992). At Oak Elementary, teachers kept their doors closed, planned alone, and did not engage in dialogue around best practices and what was happening in their classrooms. Since Principal Smith took over, they are now collaborating on a consistent basis which has caused them to form relationships with one another. They rely on each other when creating lesson plans, analyzing their data, and implementing instructional strategies in their classrooms. Schools that have strong, positive cultures are ones in which collegiality, improvement, and hard work are the norm (Peterson & Deal, 1998; Sergiovanni, 1992). Evidence shows that teachers at Oak Elementary are now dedicated to working with one another for the sake of improving their practice to benefit their students. Principal Smith's leadership philosophy and his actions inspired teachers to respond from within to do what is good and what is right for students which led to an increase in student performance through increased collaboration.

In addition to allowing teachers more time to collaborate to improve student performance, implementing teacher feedback was another impact of change that led to a positive change in school culture. Teachers indicated that before Principal Smith was hired their feedback was not encouraged therefore they were not involved in any of the decision-making process. Teachers did not feel that their voices were important and that their knowledge and expertise was valued. Principal Smith was intentional about using his professional and moral authority combined with establishing a new vision statement to promote inspiration from within in order to get teachers to feel empowered to do what is best and what is right for their students. This was a welcomed change from the past.

Schools that have principals who include teachers in decision making tend to have strong, positive cultures because teachers feel that they can talk to their principal and their colleagues and work together to solve problems and do what is best for students (Weiss, 1992). Studies show that when a principal asks for teacher suggestions to improve student performance and then uses the feedback to create and implement action plans, the culture changes for the better because teachers feel their opinions matter and they feel comfortable enough to take risks and try new methods (Habegger, 2008). The use of surveys and other informal means of collecting and implementing feedback was important to teachers at Oak Elementary because it showed that their knowledge and expertise was valued. This led to a positive increase in the culture at the school. Oak Elementary was now a school that had a shared sense of what is important, a shared ethos of caring and concern, and a shared commitment to helping students learn (Peterson & Deal, 1998). Utilizing teacher feedback in decision making was an important impact of change that inspired teachers to respond from within which led to a positive change in the school culture.

Investing in teachers' professional development was an impact of change that promoted a positive change in the school culture. When teachers receive professional development, they are given the opportunity to raise their capacity as well as engage with their peers. Research shows that principals need to create a positive school culture that promotes learning and engagement not only for students, but for teachers as well (Habegger, 2008). The increased opportunities for professional development at Oak Elementary made teachers feel like they were part of a professional learning community.

By using professional development to create professional learning communities, the school culture can positively change in many ways, such as: increased efficacy, both collectively and individually; collective responsibility for student learning; reduction in teacher isolation; substantial learning about good teaching; increased content knowledge; higher morale; greater job satisfaction; greater retention rates; and more enthusiasm (Dufour & Eaker, 2006). All of these impacts of change were noted by the teachers. Providing teachers with more professional development opportunities was an important impact of change that inspired teachers to respond from within which led to a positive change in school culture.

Principal Smith's leadership philosophy was achieved by using professional and moral authority as his primary sources of authority. Because he utilized these primary sources of authority, it showed that Principal Smith was invested in teachers' values and beliefs, professional development, feedback, and accepted tenets of practice. Principal Smith's leadership philosophy inspired his actions to create change; the most important action being establishing a new vision statement. By identifying teachers' values and beliefs they were able to use those to craft a vision statement that was meaningful to them. Having a vision statement that drove teachers' thinking, planning, and instruction, made the rest of the change process make more sense. The driving force behind the new vision statement inspired teachers to respond from within as their intrinsic motivation led them to do what was good and right for students. This combination of professional and moral authority in conjunction with establishing a new vision statement led to several impacts of change such as increased teacher collaboration, implementing teacher

feedback, and investing in teacher professional development. These impacts of change created two critical outcomes at Oak Elementary: improved student performance and a positive change in the school culture. The participants in this study concluded that Oak Elementary is in a better place than it was before Principal Smith arrived. They attribute these successes to the way in which Principal Smith chose to lead during the change process.

### **Limitations**

The following limitations have been imposed by the nature of this study. These limitations also affected the ability of the researcher to make generalizations from this research.

1. The data generated by this study are limited by the characteristics of the school that was studied.
2. Participation in the study and all surveys were voluntary. There were 14 teachers eligible to participate. Out of those 14 teachers, 10 signed the consent form agreeing to participate in the study. Ultimately, only five teachers filled out the survey. Survey response rates indicate that approximately 33% of people will respond (Watt, Simpson, McKillop, & Nunn, 2002). In the case of this study, 36% of eligible teachers participated, however, there is room for this participation rate to be higher.
3. The political atmosphere in the district is currently contentious due to disagreements between the district and the state regarding funding which has led to budget cuts. Budget cuts have required the principals and teachers to do



more with less resources. They are still expected to make gains and improve student performance with less faculty and staff members and less resources.

4. Creating change in the district can be difficult due to district mandates and because of the power of the local school council (LSC). The principal's plan for change could be thwarted by the LSC as they approve how school funds and resources are allocated, develop and monitor the annual School Improvement Plan, and evaluate and select the school's principal.
5. There is political tension over the fact that the school board is appointed by the Mayor as opposed to an elected school board. The teacher's union believes the school board pushes the Mayor's agenda which they feel is not in line with what is best for children. District initiatives and mandates enacted by the school board have the potential to prohibit the principal from making the change that they see fit.
6. The principal works at a school with a strong union presence. The principal is cognizant of abiding by all union bylaws. At times, these bylaws present the principal with even more challenges when they interfere with the change process.
7. Subject areas such as art and physical education were not considered because they do not teach core subjects (reading, math, writing).
8. The researcher is currently working as a school leader who is focused on the task of leading change at her school. Because of this the researcher's

perspectives and biases may limit the ability to present more generalizable findings.

9. The researcher has relationships with all participants as she was a former employee of the school. These relationships may cause the researcher's perspectives and biases to be limited and not as generalizable as they could be.

### **Implications for the Field**

The job of the principal is to inspire and lead change so that the school can move in a direction that promotes improved student outcomes and improved school culture for everyone. Unfortunately, change is not easy and principals play a critical role in leading their schools through the process (Fullan, 2001). Navigating district mandates, state mandates, and the culture and climate of their schools to produce increased student outcomes can be challenging for principals (Fullan, 2008). Based on the findings in this study, principals going through the change process should strive to get teachers to respond from within by using professional and moral authority as well as establishing a vision statement if the current one is not in line with the stakeholders' values and beliefs. By getting teachers to respond from within, they will do what is good and what is right before serving their own self-interests (Bolman & Deal, 2013; Sergiovanni, 2012; Spiro, 2011).

### **Professional and Moral Authority**

When developing their own leadership philosophies, principals should utilize professional and moral authority as their primary sources of authority throughout the process. Although principals can use a combination of bureaucratic, technical-rational,

psychological, professional, and moral authority, using professional and moral authority will get teachers to respond from within, rather than being imposed (Sergiovanni, 1992). Principals should use professional authority because it sets the expectation that teachers respond to common socialization, accepted tenets of practice, and internalized expertise. They should use moral authority because it sets the expectation that teachers respond to shared commitments and felt interdependence. Table 13 shows various leadership strategies that principals can implement when using professional and moral authority as their primary sources.

Table 13

*Leadership Strategies for Professional and Moral Authority*

Professional Authority	Moral Authority
<ul style="list-style-type: none"> <li>• Promote a dialogue among teachers that explicitly states professional values and accepted tenets of practice.</li> <li>• Translate them into professional standards.</li> <li>• Give teachers as much discretion as they want and need.</li> <li>• Require teachers to hold one another accountable for meeting practice standards.</li> <li>• Make assistance, support, and professional development opportunities available.</li> </ul>	<ul style="list-style-type: none"> <li>• Identify and make explicit the values and beliefs that define the center of the school as a community.</li> <li>• Translate them into informal norms that govern behavior.</li> <li>• Promote collegiality as internally felt and morally driven interdependence.</li> <li>• Rely on the ability of community members to respond to duties and obligations.</li> <li>• Rely on the community's informal norms to enforce professional and community values.</li> </ul>

Source: Sergiovanni, 1992

When leadership strategies from both of these sources of authority are used, teachers will begin to shift their priorities in regard to what they should follow. They will now be inspired to respond to the shared values and beliefs of the community and professional standards of practice as opposed to the leader's script. Next, teachers will

question why they are being asked to change. Their answer will be based on their professional and moral obligations as opposed to being coaxed into doing things simply for compliance reasons. The last thing they will ask is whom they should follow and their answer resides in the fact that they feel professionally and morally obligated to follow each other as a school community as opposed to following the principal simply by virtue of them being the person in charge. When teachers respond to these questions in a more professional, moral way, the principal can create a learning community that responds from within to create change for student improvement.

Principals should use both professional and moral authorities in tandem with one another because they offer a unique approach to leadership. By intertwining these sources of authority, principals can create teachers who respond from within. When teachers are motivated intrinsically and respond in this manner, principals will have to use less management strategies because the teachers respond based on their professional standards of practice as well as what they believe is right and what is good. Once the principal is effective in using professional and moral authority, there will be a synergy between the principal and the teachers that transforms the school from an organization to a community.

### **Establishing a Vision Statement**

In addition to using professional and moral authority to get teachers to respond from within when creating change, principals should also utilize a driving force that will inspire change throughout the entire process (Kotter, 2012). Creating a new vision statement is one powerful way to do this. A new vision statement that is derived from

values and beliefs shared by the organization will serve as the foundation for the change that lies ahead. In order to create a vision statement that will justify the need for change, it is important to ask the right questions first. Asking questions such as “What is the best way to start?” and “How can we ensure that what is planned will be well implemented and achieve our purpose?” is a good starting point (Spiro, 2011). This can be accomplished by communicating the “why” for implementing new change initiatives. The “why” behind changing comes from an understanding of the purpose for change which can be found in establishing what teachers’ core values and beliefs are. If principals implement these strategies they are more likely to be successful in establishing a new vision statement.

When establishing a new vision statement, it is important to note that a principal should not act alone. Teachers, students, families, and school partners are affected by the vision statement. Because of the widespread effect of the vision statement, it is essential to remember that people must understand and believe in change. Critical work happens in the development, the dialogue, and the common understanding built by working together to create key tools and processes, such as a vision statement (Minnesota Department of Education, 2017). If they chose to rewrite their vision statements, it is important for principals to utilize their team of teachers. If they do, they will create an opportunity to inspire teachers to respond from within as the words of the vision statement will drive their work.

Although there are many ways that principals can approach the change process, based on the findings of this study the researcher suggests that principals who are

engaging in the change process should utilize moral and professional authority as their primary sources of authority. They should also consider analyzing their vision statement to determine if it truly represents the values and beliefs of the stakeholders. The vision statement is a driving force behind the way that teachers respond to shared beliefs and accepted tenants of practice which has an effect on student performance and the culture of the school.

### **Need for Future Research**

While the purpose of this study was to examine how one elementary school principal led change and how teachers perceived the effectiveness of the change, other questions surfaced that have implications for educational leaders. The following are recommendations for future studies.

- The principal selected for this study is well versed in Sergiovanni's (1992) five sources of authority. While it was not the researcher's intent to utilize a principal for this study who already has knowledge of these sources of authority, another study could be conducted in which the principal has no knowledge of Sergiovanni's five sources of authority. This would ensure there is no bias during the principal's interview.
- This research was a qualitative, bounded case study. Data was collected was from the 2015-2016 school year. A longitudinal study could be conducted to determine if the change enacted by the principal was sustainable by gathering data for the same participants over a longer period of time.

- There is a great deal of literature that focuses on leadership strategies to elicit change, but there is little research on the intersection of leadership and management strategies. The findings in this study show that effective principals understand the need to lead by using leadership strategies and management strategies. More studies should be conducted to uncover how principals are utilizing both ways to create change.
- Once the principal leaves, it is unclear if the changes that were made will be sustainable. Another study could be conducted to determine if the change truly was brought to scale and embedded in the culture of the school or if teachers reverted to what they were doing before the principal arrived. There may also be a possibility of a new leader wanting to create even more change which may cause teachers to abandon current practices.

### **Conclusion**

This study focused on the intersection of leadership and management strategies used to elicit change. Based on the data, the researcher shows that principals should use both leadership strategies and management strategies to lead change in their schools. Professional and moral authority should be the principal's primary sources of authority. Using professional and moral authority the most allows the principal to create teachers who respond to professional norms and community values (Sergiovanni, 1992). Their practices become collective and they respond due to moral obligations and professional standards of practice. Their motivation becomes intrinsic as they feel obligated to do what is good and what is best for students as opposed to only doing what works.

Although a principal can choose to use any sources of authority at any time, the findings of this study show that it is important for principals to use bureaucratic, technical-rational, and psychological authority only to support professional and moral authority (Sergiovanni, 1992).

Using professional and moral authority is not enough if principals want to elicit change to improve student outcomes. They have to combine management strategies as well. The management strategies considered in this study were: sense of urgency, empowering employees, early, short-term wins, engaging key stakeholders, scaling & sustaining, embed change in the culture, establishing a vision statement, communication, and valuing employees. Although all of these management strategies are important and can be used at any time and in any order, the study found that a successful principal should establish a vision statement as a foundation for change (Kotter, 2012). Some principals may feel that their vision statement is strong and does not need to be changed. If that is not the case, the principal should consider how they will create a new vision statement that reflects the values, beliefs, and goals of the stakeholders.

Although the principal described in this study experienced success by utilizing specific sources of authority and change management models, every principals' individual situation is unique. It may not be appropriate for a principal to replicate the strategies used by the principal in this study. What they should do is determine what sources of authority they will use to lead with a focus on using professional and moral authority as their primary sources (Sergiovanni, 1992). From there, a principal should ask themselves questions and analyze their current situations to determine what management



strategies they will need to employ to elicit change (Spiro, 2011). This may look different for every principal, but the decision to lead through leadership and management strategies is the key to principals persevering through the challenge of leading change.

The researcher hopes that when principals read this study they will reflect on their practices and identify how they can use their sources of authority as well as change management models to improve student performance. The overwhelming amount of work that principals face in conjunction with rising expectations for student performance is the reality of the principalship. When trying to create change in their schools, the realities of the job may seem unnerving to the principal. Knowing this, the researcher believes this study offers principals various ways in which they can assert their authority by using leadership and management strategies to implement change in their school to elicit student improvement. Principals who dedicate themselves to using their authority to generate positive change at their schools are able to touch the lives of their students by giving them what they deserve: a high quality, student-centered education that is focused on academic success for all children.

APPENDIX A  
LETTER OF CONSENT FOR THE PRINCIPAL

**Researcher:** Samantha J. Rapson

**Faculty Sponsor:** Dr. Aimee Ellis

**Introduction:**

You are invited to participate in a research study being conducted by Samantha J. Rapson, for her dissertation, under the supervision of Dr. Aimee Ellis, a faculty member in the School of Education.

You were selected as a possible participant in this research because you are a principal who has led change by using sources of authority as well as effective change management models.

Please read this form and ask questions before you agree to be in the study.

**Background Information:**

The purpose of the study is to examine how one elementary school principal has led change by using sources of authority as well as effective change management models.

**Procedures:**

If you decide to participate, you will partake in an interview lasting no longer than 45 minutes. This interview will focus on how you led change by using sources of authority as well as effective change management models. Prior to the interview, you will be asked to sign a "Consent to Participate in Research" letter. The interview will be audiotaped and transcribed. The transcriber hired for this purpose has also signed a confidentiality agreement. Throughout the interview, your responses will be checked for accuracy. You will have the opportunity to suggest revisions to the transcript, if necessary. Once the transcript is in a final stage, all identifiers will be removed. Lastly, as a participant you will have the option to share various documents such meeting agendas, meeting minutes, memos, and emails with the researcher.

**Risks and Benefits of being in the study:**

There are no foreseeable risks beyond those experienced in everyday life. Interview responses will be kept confidential and will be stored on a locked computer and/or in a locked cabinet. Although the researcher will have access to the results, no linkage will be made between the participants and their responses. Research participants' identities will not be used.

**Benefits:**

There may be no direct benefits to participating, but indirectly, your participation adds to the body of research in education, leadership, and the principalship. It is hoped the information cited in this study will benefit current and future leaders and researchers.

**Confidentiality:**

Any information obtained in connection with this research study that can be identified with you will be disclosed only with your permission; your results will be kept confidential. In any written reports or publications, no one will be identified or identifiable and only group data will be presented.

Research results will be kept on a locked computer and/or in a locked cabinet that is only accessible to the researcher. Upon completion of the dissertation the researcher will destroy all original reports and identifying information that can be linked back to you.

**Voluntary nature of the study:**

Participation in this research study is voluntary. Your decision whether or not to participate will not affect your future relations with Loyola University of Chicago. If you decide to participate, you are free to stop at any time without affecting these relationships or penalty.

**Contacts and questions:**

If you have any questions, please feel free to contact me, Samantha Rapson, at [samantha.rapson@gmail.com](mailto:samantha.rapson@gmail.com) or my faculty advisor, Dr. Aimee Ellis, at [apapola@luc.edu](mailto:apapola@luc.edu). If you have other questions or concerns regarding the study and would like to talk to someone other than the researcher(s), you may also contact the Compliance Manager in Loyola's Office of Research Services at (773) 508-2689.

You may keep a copy of this form for your records.

**Statement of Consent:**

You are making a decision whether or not to participate. Your signature indicates that you have read this information and your questions have been answered. Even after signing this form, please know that you may withdraw from the study at any time. You may keep a copy of this form for your records.

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I consent to participate in the study.

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Signature of Participant

Date

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Signature of Researcher

Date

APPENDIX B

LETTER OF CONSENT FOR THE TEACHERS

**Researcher:** Samantha J. Rapson

**Faculty Sponsor:** Dr. Aimee Ellis

**Introduction:**

You are invited to participate in a research study being conducted by Samantha J. Rapson, for her dissertation, under the supervision of Dr. Aimee Ellis, a faculty member in the School of Education.

You were selected as a possible participant in this research because you have been teaching at a school in which the principal has led change by using sources of authority as well as effective change management models from 2014-2016.

Please read this form and ask questions before you agree to be in the study.

**Background Information:**

The purpose of the study is to examine how one elementary school principal has led change by using sources of authority as well as effective change management models.

**Procedures:**

If you decide to participate, you will partake in an electronic survey that will take you 30-40 minutes to complete. This survey will focus on how the principal led change by using sources of authority as well as effective change management models. It will also focus on your perception of the effectiveness of the change. This survey will be distributed via Google Forms to your preferred email address. At any point if you do not want to continue you may stop the survey without the results being sent to the researcher. The researcher will keep all survey results confidential and your name will not be used at any time.

You will also have the option of participating in a follow up interview. The researcher will be interviewing random survey participants to ask follow up questions. This will be a semi-structured interview lasting no longer than 45 minutes with some questions determined ahead of time and some determined during the interview. This interview will be audio recorded and transcribed. The researcher will keep all survey results confidential and your name will not be used at any time.

**Risks and Benefits of being in the study:**

There are no foreseeable risks beyond those experienced in everyday life. Interview responses will be kept confidential and will be stored on a locked computer and/or in a locked cabinet. Although the researcher will have access to the results, no linkage will be made between the participants and their responses. Research participants' identities will not be used.

**Benefits:**

There may be no direct benefits to participating, but indirectly, your participation adds to the body of research in education, leadership, and the principalship. It is hoped the information cited in this study will benefit current and future leaders and researchers.

**Confidentiality:**

Any information obtained in connection with this research study that can be identified with you will be disclosed only with your permission; your results will be kept confidential. In any written reports or publications, no one will be identified or identifiable and only group data will be presented.

Research results will be kept on a locked computer and/or in a locked cabinet that is only accessible to the researcher. Upon completion of the dissertation the researcher will destroy all original reports and identifying information that can be linked back to you.

**Voluntary nature of the study:**

Participation in this research study is voluntary. Your decision whether or not to participate will not affect your future relations with Loyola University of Chicago. If you decide to participate, you are free to stop at any time without affecting these relationships or penalty.

**Contacts and questions:**

If you have any questions, please feel free to contact me, Samantha Rapson, at [samantha.rapson@gmail.com](mailto:samantha.rapson@gmail.com) or my faculty advisor, Dr. Aimee Ellis, at [apapola@luc.edu](mailto:apapola@luc.edu). If you have other questions or concerns regarding the study and would like to talk to someone other than the researcher(s), you may also contact the Compliance Manager in Loyola's Office of Research Services at (773) 508-2689.

You may keep a copy of this form for your records.

**Statement of Consent:**

You are making a decision whether or not to participate. Your signature indicates that you have read this information and your questions have been answered. Even after signing this form, please know that you may withdraw from the study at any time. You may keep a copy of this form for your records.

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Please check one box and sign below.

- ☐ I do not consent to participate in this study.
- ☐ I consent to participate in the electronic survey only.
- ☐ I consent to participate in the survey and a follow up interview.

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Signature of Participant

Date

---

Signature of Researcher

Date



APPENDIX C

ELECTRONIC TEACHER SURVEY QUESTIONS

1. How did the principal inspire you to change your practice to improve student outcomes?
2. What was the principal's motivation to create change to improve student outcomes?
3. How did the principal face the challenges of implementing the change to improve student outcomes?
4. How did the principal communicate that he wanted to lead change to improve student outcomes?
5. How does the principal acknowledge success throughout the change process?
6. How does the principal reward your work?
7. How does the principal seek input when making decisions that affect the work you do?
  - a. Whom does he seek out? (positions, not names)
8. Can you provide examples of how the principal invests in your professional development? (data, conferences, research, mentoring, coaching, peer-to-peer observations, counseling, etc.)
9. What do you think is the principal's vision of the school?
10. How did the principal create the vision statement?
11. How does the principal communicate the vision statement?

APPENDIX D

PRINCIPAL INTERVIEW QUESTIONS

1. How did you inspire your teachers to change their practices to improve student outcomes?
2. What was your motivation to create change to improve student outcomes?
3. How did you communicate that you wanted to lead change to improve student outcomes?
4. How do you acknowledge success throughout the change process?
5. How do you reward teachers' work?
6. How do you seek input when making decisions that affect the work that teachers do?
  - a. Who do you seek out?
7. Can you provide examples of how you invest in your teachers' professional development?
8. What is your vision for the school?
9. How did you create the vision statement?
10. How do you communicate the vision statement?
11. How does you exert your authority in different ways throughout the change process?

APPENDIX E

TEACHER INTERVIEW QUESTIONS

1. How do you feel about the change in your practice from the 2014-2015 school year to the 2015-2016 school year?
2. What is your opinion of the principal's motivation to implement change?
3. What is your opinion about the way the principal acknowledged success throughout the process?
4. What do you think of how the principal rewarded your work?
5. What is your opinion of how the principal supported your professional development needs?
6. Imagine I am a prospective parent and want to know what the vision of the school is. Based on the principal's communicating, can you describe the vision of the school?

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## VITA

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