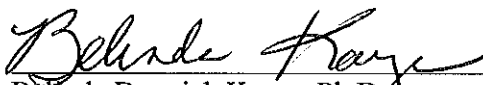
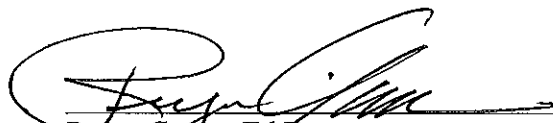


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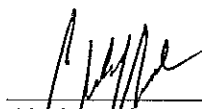
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Belinda Dunnick Karge, Ph.D.
Committee Chair




Reyes Gauha, Ed.D.
Committee Member




Clark Burke, Ed.D.
Committee Member

The Dissertation Committee, the Dean, and Executive Director of the Doctor of Education Program of the School of Education, as representatives of the faculty, certify that this dissertation has met all standards of excellence and scholarship as determined by the faculty.



Deborah Mercier, Ph.D.
Dean



Dwight Doering, Ph.D.
Executive Director

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209-981-4656	Stockton, CA 95206
Phone Number or E-mail Address	City/State/Zip

VITA

Francine M. Baird

ADDRESS

1530 Concordia West
Irvine, CA 92612
Fbaird@musd.net

EDUCATION

EdD	2018	Concordia University Irvine Educational Leadership
MA	2010	University of the Pacific Educational Administration
BA	1993	University of the Pacific, Stockton, CA Psychology

PROFESSIONAL EXPERIENCE

2015-Current	Principal Weston Ranch High School Manteca Unified School District
2013-2015	Principal Hamilton Elementary School Stockton Unified School District
2012-2013	Assistant Principal Stagg High School Stockton Unified School District
2011-2012	Interim Principal Weber Tech Institute Stockton Unified School District
2010-2011	Assistant Principal Franklin High School Stockton Unified School District
2001-2010	English Teacher/Aspiring Administrator Edison High School Stockton Unified School District

THE EFFECT OF JOHN KOTTER'S THEORY OF CHANGE ON THE IMPLEMENTATION
OF PROFESSIONAL LEARNING COMMUNITIES AND THE PERCEPTIONS OF
SECONDARY TEACHERS IN A PUBLIC SCHOOL SETTING

by

Francine M. Baird

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Concordia University Irvine

ABSTRACT

This study examined the effects of John Kotter's Eight Steps for Successful Change framework and strategies in systems implementation in a secondary educational environment. Teachers' perceptions of the effectiveness of Kotter's strategies used by their administrative team to support positive change were examined. The study evaluated data provided from a survey based on John Kotter's change theory, interviews of secondary teachers who participated in the implementation of Professional Learning Communities (PLC) strategies, and collaborative time. The study compared the responses of classroom teachers on a site survey to determine the fidelity of the PLC process and their opinions about the use of John Kotter's Eight Strategies and the effect on student academic achievement through PLCs. The results of interviews with teachers responsible for participating in the Data Team process and who were aware of Kotter's framework to determine if the model worked to implement change were conducted. The outcomes of this study impact the further investigation of ways to use John Kotter's theory of change when implementing new systems into the educational setting and to provide further data to confirm the positive influence of Professional Learning Communities on academic achievement.

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CHAPTER 1: INTRODUCTION

Change will at some point be necessary in the life of every individual, and in the life of an organization is no different. If you do what you've always done, you'll get what you've always gotten. Most modern societies value the individual who is willing and able to initiate and respond positively to change (Muhammad, 2008). Organizational change is necessary but often proves to be challenging (Fullan, 2010). Despite some individual success, change remains difficult to successfully implement, and few companies manage the process as well as they would like (Kouzes and Posner, 2012). Despite numerous research studies conducted, and multiple theories developed, change remains difficult and resistance to change continues to undermine many organizational change initiatives (Bovey, 2001).

One of the many change theories used in private industry to implement change is John Kotter's eight steps to change theory (Gray, 2004). In *Heart of Change*, Kotter (2002) lays out a compelling eight-step process that successful organizations have used to implement organizational change. First, they create a sense of urgency. Then, they build a guiding coalition, get the vision right, communicate it effectively, empower actions, create short-term wins and celebrate them, and refuse to give up (Gray, 2004).

Statement of the Problem

As educators, we believe that student learning is a primary goal of education. Yet, how do we know that learning is taking place? How do we know if curricular changes have been successful? Just as we require evidence to make mindful decisions or data to confirm/disconfirm research hypotheses, assessment data helps determine whether educational objectives have been met (Peery, 2011). In this context, assessment can be defined as “the systematic collection, review, and use of information about educational programs for the purpose of improving student

learning and development” (Armenakis, 2007, p. 488). Two important elements in this definition are assessment focused on improving student outcomes, and assessment used to gather information about the effectiveness of utilizing research-based instructional strategies while delivering the curriculum.

How do instructional leaders inspire educators to change and revisit their practices in order to provide a quality education with appropriate rigor for a higher percentage of student success? Is it worthwhile to consider changing the instruction presented to students the first time students are introduced to the curriculum to ensure it is the best it can be to support their learning and success? Research-based, effective instructional strategies can be found, learned and implemented for the purpose of increasing positive student achievement by engaging students’ cognitive abilities; however, teachers remain resistant and stubborn in changing their practices (Fullan, 1996). Instruction will not change on its own.

In order for significant change to occur, principals as instructional leaders and coaches of professional development, must support and assist teachers in adopting new instructional practices (DuFour, 1991). Productive, well-orchestrated change efforts allow organizations to adapt to shifting conditions and position themselves for a better future (Senge, 2012).

Purpose of the Study

The purpose of this study was threefold: (a) First, to identify and apply John Kotter’s eight steps to transforming organizational change as a framework to the implementation of Professional Learning Communities to support positive student. The strategies were identified supporting Kotter’s framework and literature for successful transformation. The strategies used are the result of the creation of sustained systems that will allow teachers to improve their practice through focused collaboration and the usage of research based instructional strategies.

(b)Second, the study will determine which strategies the teachers perceived as significant in supporting change. (c) Lastly, to provide evidence that either supports or negates John Kotter's (1996) recommendation that each step in his framework must be in succession, implemented one at a time with success prior to moving to the next step with no steps intermingled nor skipped.

The objective of this study is to apply John Kotter's eight steps to transforming organizational change as a framework to determine if these eight steps have a significant impact on secondary education reform and change sustainability. The study also determined the teachers' perceptions of the effectiveness of Kotter's strategies to make significant systemic change using the eight steps, not necessarily in succession as John Kotter recommends.

Research Questions

In order to explore the impact of John Kotter's Eight Strategies to transforming successful change and its effect on a secondary educational setting, the research questions are as follows:

1. Does John Kotter's eight step change model work to implement systematic change in a secondary educational setting?
2. Must the Eight Strategies of Successful Change be in order as Kotter insists or can they be skipped, continually implemented or be used out of order?
3. What are teachers' perceptions of the effectiveness of Kotter's strategies used by their principal and administrative team to support positive change?

Theoretical Framework

John Kotter described a framework which identified eight steps fundamental to the success of organizations undergoing significant change. Kotter's (1995), "Leading Change: Why Transformation Efforts Fail", was the result of 15 years of organizational analysis. Kotter

followed this article with “Leading Change,” which described the eight-stage change framework in more detail (Kotter, 1995). Colleges and other educational settings often display many characteristics similar to the organizations described in Kotter’s work when undertaking significant curricular reform.

This research drew on Kotter’s (1996) eight steps for leading organizational change as a framework to classify the strategies teacher leaders used when attempting to change their practice. John Kotter developed his Eight Strategies for Successful Change in a response to observing more than 100 companies trying to remake themselves into significantly better companies. These companies included large organizations (Ford) and small ones (Landmark Communications), companies based in the United States (General Motors) and elsewhere (British Airways), and companies who were earning good money (Bristol-Myers Squibb) (Kotter, 1995). The basic goal of all change efforts was to make fundamental changes in how business is conducted in order to cope with a changing market environment.

John Kotter has made it his business to study both success and failure of change initiatives in businesses. Based on his research, Kotter determined why he believes transformation efforts fail. In response to his findings, he developed eight steps for leading successful change. The eight steps were created to be followed one by one and in sequence, each step building on the previous (as illustrated in Figure 1). Kotter states that it is essential to thoroughly complete all eight steps, not cutting any one out or short. “Whenever you leave one of the steps in the eight-step change process without finishing the work, you usually pay a big price later on” (Kotter, 1996, p. 83).

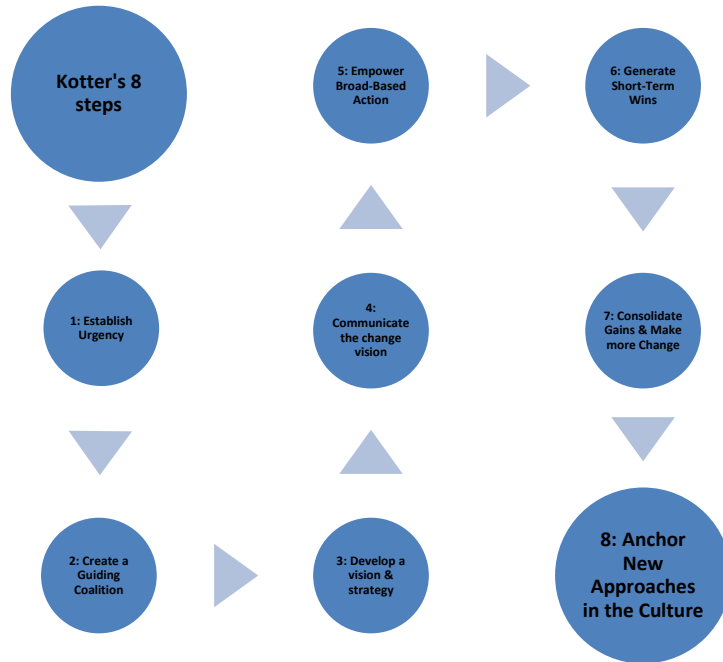


Figure 1. Kotter's Eight Steps of Change Model (Kotter, J., 2016)

Step one involves establishing a sense of urgency. Kotter notes that over half of the companies he observed have never been able to create enough urgency to prompt action. Urgency is crucial to gaining needed cooperation or staff buy-in. “Without motivation, people won’t help and the effort goes nowhere” (Kotter, 1995, p. 60). Kotter states that the majority of employees, as many as 75%, need to believe that considerable change is absolutely essential if change is to occur (Kotter, 1996).

Step two, according to Kotter (1996), is to create a powerful guiding coalition. This step requires an organization to assemble a specific group of leaders with enough power to achieve the change effort and encourage the group to work together as a team. Regardless of the size of the organization, Kotter says that the guiding coalition for change needs to have at least 3-5 powerful people within the organization leading the effort.

Step three involves developing a vision. Creating the vision requires the guiding coalition to develop a picture of what the future with the change will look like. This picture should be one that is relatively easy to communicate and appeals to customers, stakeholders, and employees. (Kotter, 1995). The vision serves three important purposes: by illustrating the general direction of the change; by motivating people to take action; and by helping to coordinate the actions which individuals will take (Kotter, 1996).

Kotter (1996) provides a step four that requires communication of the vision. This step involves using every vehicle and opportunity possible to continuously communicate the change. Some key elements to effectively communicate the vision include repetition, explanation, the use of multiple forums, and leading by example (Kotter, 1996). The guiding coalition should be leading this effort by setting the example and walking the talk.

Step five is empowering others to act on the vision. The first action in the step requires removing any obstacles to the change. This may involve changing systems or structures within the organization. Fullan (2014) tells us it may also involve allocating more money, time, or support needed to make the change effective.

Step six involves planning for short-term wins. Complete transformation takes an extensive amount of time, so the loss of momentum may be a major factor. Most people will not continue to work hard for change if they see no evidence of the success of their efforts reports Peter Senge in *Schools that Learn*. Hence it is important to plan for visible improvements, create those improvements, and recognize and reward those involved (Senge, 2012).

Step seven involves consolidating gains and producing more change. As Kotter warns, “Do not declare victory too soon” (Kotter, 1995, p. 66). For change to sink deeply into the

culture of an organization may take years. “Successful efforts use the credibility afforded by short-term wins to tackle even bigger problems” (Kotter, 1995, p. 66).

Step eight involves institutionalizing the new approaches. Change sticks when it becomes “the way we do things around here” (Kotter, 1995, p. 67). Two factors are important to making the changes part of the organizational culture. The first is to show people how the changes have helped improve performance. The second is to ensure that the next generation of the organization believes in and embodies the new ways in order to achieve sustainability (Kotter, 1995; Senge, 2012; Fullan, 2014; Kouzes & Posner, 2012). In the secondary world, there tends to be high rates of turn-over of principals and assistant principals. This step is important because even if the administrative team were to change, this system will still live on through the systemic change that was successfully made.

Significance of the Study

There has been significant research in the arena of student academic achievement. The focus of that research has been often centered on the impact and influence of topics such as parent participation, students with disabilities, and student motivation. Additional research has been exploring the influence of technology and curricular frameworks. Very little research exists in the area of using the full eight step framework of Kotter’s change theory in an educational setting.

Determining the vision and focus is the responsibility of the organization’s leadership (Hughes, Ginnett, & Curphy, 2009; Kotter, 1996; Northouse, 2010; Yukl, 2010). This study provides leaders with strategies necessary to lead complex change in an educational setting. To further assist leaders in this endeavor, leaders will benefit from comprehending some of the

underlying issues teacher leaders perceive as beneficial or necessary to the change process (Bajaj, 2009; Crookes, 2003; Lyon, 2004; Mohamed, 2008).

Definition of Terms

All systems go: “every vital part of the whole system – school, community, district, and government contributes individually and in concert to forward movement and success” (Senge, 2010).

California Assessment of Student Performance and Progress (CAASPP): these summative assessments are an annual measure of what students know and can do using the Common Core State Standards for English language arts/literacy and mathematics (CDE.ca.gov).

Common Core State Standards (CCSS): educational standards describe what students should know and be able to do in each subject (CDE.ca.gov).

Common formative assessment (CFA): are assessments given by all teachers on a Data team to all of the students they share. These tests are selected or created by the team members focusing on prioritized standards and/or learning goals (Peery, 2011).

Collective capacity: when groups get better conjointly and generates the emotional commitment and technical expertise that no amount of individual capacity working alone can come close to matching (Fullan, 2010).

Data team: is an instructional team which can be a small grade-level, department, course-like or organizational team that examines work generated from a common formative assessment (Peery, 2011).

Guiding coalition: a team leadership puts together that can direct a change effort made up of those with position power, expertise, credibility and leadership skills (Kotter, 1996).

Professional Learning Community (PLC): is a group of educators whom meet regularly, share their skillset, and collaboratively work to improve their teaching skills and the academic performance of students (DuFour, 2010).

Shared vision: a vision that draws out the commitment of people throughout a school or school system (Senge, 2012).

Vision: refers to a picture of the future with some implicit or explicit commentary on why people should want and strive to create that future (Kotter, 1996).

Whole-system reform: every vital part of the system – school, community, district and government – contributes individually and in concert to forward movement and success (Fullan, 2010).

Limitations

The limitations of this study vary. There is the limitation of the researcher's participation in the study and the desire to provide an alternate theory where the eight steps do not have to be followed in order to be successful in the model. Another limitation is to ensure the survey instrument is not biased or unclear. The researcher must make it clear that there will be no punitive action taken if the information given by the participants is not aligned with the expected outcomes of the researcher.

Delimitations

Gender, ethnicity, and age were not taken into consideration when conducting the study. Additionally, teachers' experience in the classroom, their performance status at the time of the study were not contributing factors to this study. This study includes the data collected from teachers at three comprehensive high schools in a suburban school district. It was assumed that

the teachers honestly responded to the survey and those responses accurately reflected their experience and professional opinions.

Expected Outcomes

In the book, *All Systems Go*, Michael Fullan (2010) purports for schools and school systems to improve, they need to build their collective capacity. The researcher proposes that through using John Kotter's eight step model, the participants will experience and create systems that will allow them to learn from one another for the benefit of all students. Kotter's eight steps has been useful in guiding the school and its systems in thinking and creating positive change that is sustainable. The researcher also purported that the eight steps would not have to be followed consecutively in order to achieve positive change and a systems transformation.

Summary

The purpose of this study was to examine if John Kotter's eight steps of change framework could work in an educational setting since it was developed with the private sector in mind. The research was designed to examine if the usage of Kotter's eight steps of change was effective as well as to examine teachers' perceptions of the effectiveness of these steps. The researcher has also designed the research to determine if the eight steps could be completed out of order for Kotter recommends his eight steps to be completed sequentially.

CHAPTER 2: REVIEW OF THE LITERATURE

Introduction

This chapter focuses on the literature review on the current and relevant knowledge on effective change in organizational structures. The review includes a summary of change theory; the vehicle from which the change will occur (Professional Learning Communities); John Kotter's (1996) eight-step change model; and a summary of peer-reviewed articles on the items above. The purpose of this grounded theory study is to explore Kotter's framework and its effectiveness in systemic change in secondary education.

Search Strategies

The literature review for this study includes peer-reviewed journal articles, dissertations, books, and government documents. The researcher searched for studies on (a) Kotter and education, (b) change theory, (c) the role of leaders in transformation change, and (d) qualitative research design. The documents found were identified through the EBSCO Information Services and ProQuest database portals. The following electronic databases were utilized: Academic Search Premier, Educational Resource Information Center (ERIC), and Google Scholar. A review of dissertations was completed through ProQuest Dissertations and Theses (PQDT). Additional sources were found through bibliographies and in-text references.

Professional Learning Communities

Richard DuFour (2002) characterized most schools that were not effective as being disorganized, unfocused and without a set of clear and focused goals (Muhammed, 2009). With the surge in 21st century learning, many school districts have made the decision to implement a research-based reform on how Professional Learning Communities (PLCs) can transform classroom practice and ultimately, enhance student learning. PLC have been offered in the

literature as an effective way to champion school reform by giving teachers an opportunity to collaborate, identify goals and challenges, and develop a plan for overcoming those challenges and accomplishing the identified goals (Manthey, 2008; Norguera, 2004; Vescio, Ross, & Adams, 2008). According to Donaldson (2001), there is a correlation between PLCs and an increase in student achievement. Dufour (1998) posits teachers working in teams, participating in continuous cycles of questions which foster team learning and engagement is what characterizes powerful collaboration in professional learning communities. When successful implementation occurs, PLCs can change the culture of the school for students, teachers, and administrators (Graham, 2007). With this, the members of the PLC must hold onto the commitment to creating shared values, maintaining a collective focus for student learning, working collaboratively in its efforts to improve instruction and holding onto collective control over decisions affecting their teaching and learning (Leo & Cowan, 2000).

DuFour et al. (2006) defines PLCs as “collaborative teams whose members work interdependently to achieve common goals linked to the purpose of learning for all” (p.3). Henderson (2008) states a PLC is a “collegial group of administrators and staff who are united in their commitment to student learning” (Henderson, 2008, p. 50). Leo and Cowan (2000) state “a PLC is a school where administrators and teachers continuously seek and share learning to increase their effectiveness for students and act on what they learn” (p.2). Imants (2003) states that PLCs are “schools in which interaction among teachers is frequent and teachers’ actions are governed by shared norms focused on the practice and improvement of teaching and learning” (p. 296). Additionally, because there are several definitions of PLCs and many broad characteristics, Blankstein (2004) posits, “It is more common to find school professionals who

say they are part of a ‘learning community’ than it is to actually find a professional learning community in operation” (p. 51).

PLCs are considered to be the most effective framework for school reform with a focus on improving student achievement (Rolf, 2003). Hord (2004) describes five interrelated areas characteristic of schools who have implemented PLCs with fidelity and positive results. She identifies a school that has made PLCs their culture showed (a) supportive and shared leadership, (b) a common vision and core values, (c) learned collectively, (d) established trust and fostered a supportive environment, and (e) shared their instructional practices. PLCs offer teachers a forum to share their successes with others as well as learn about and stay current in their practice.

Researchers support the idea that the school’s primary instructional leader, the principal, plays a key role in fostering professional learning that is collective and authentic in schools (Mitchell & Sackney 2011; Dimmock 2012). PLCs assist the principal in developing a platform of safe challenging or, as Senge (2006) identifies a dialogue in which a group can access a broader ‘pool of common meaning’ that teachers cannot access alone. Mitchell and Sackney (2011) also state a learning community is “better served by horizontal stratification in which hierarchical levels are reduced and power is dispersed throughout the school” because teachers will fail to achieve collective capacity, learning and sharing until the learning environment allows for collegial conversations and autonomy in professional practice.

There are some differences in the literature with one being the mission of educators which is to ensure students learn and not to simply teach (DuFour, DuFour, Eaker & Karhanek, 2004; Leo & Cowan, 2000). The focus of educators therefore should not be teaching, but learning. Principals should encourage their teachers to use their data to drive instruction and to add successful instructional practices to their repertoire.

Creating Change in an Organization

When implementing change, there are numerous challenges. Change often brings along stress, uncertainty and confusion through fear from being brought out of the norm or familiar (Bolman & Deal, 2003; Fullan, 1996, 2005; Harvey & Broyles, 2010; Kotter, 1996). People want a clear understanding of what will be expected of them as well as how the change will affect them during the change process (Bolman & Deal, 2003; Fullan, 2005; Kotter, 1996).

Fullan (2011) says that whole-system reform “involves all schools in the system getting better...reducing the gap between high and low performers.” He also states that “it is possible with focused effort that effective school and systems can virtually eliminate the role of socioeconomic status in determining educational attainment” (p. 18). What does this mean? It means leaders must fuse several elements together into a coherent body of methods, tools, and principles to see how they intermingle and become part of the common goal and process. Teachers cannot continue to work in isolation, shut their classroom doors and go at it alone. “Instead of working alone, gather a pilot group of committed people together to talk about a common situation” (Senge, 2012, p. 110). Fullan (1996) states that isolation “imposes a ceiling affect on inquiry and learning” (p. 34).

The response to change is often met with lingering of resistance since teachers are often waiting for the next wave of replace the current initiative. The pendulum of instructional change swings without stopping (Fullan, 1996). With schools being in the business of teaching and learning, they are not always the best at organizing themselves systematically as a business (Fullan, 2001). This atmosphere often views change as a “passing phase” or with a skepticism such as “this too shall pass” (Herold & Fedor, 2008).

Business has many facets and must transition with the ever-changing needs of its clients in order to survive. Education is multifaceted due to the autonomy of each teacher's practice and isolation. Trust is a factor that needs to be cultivated into the environment in order for teachers to welcome observers into their classrooms to provide feedback on their instructional practices (Fullan, 1996; Hollins, 2006). Culturally the school or organization must break from nostalgia in order to foster a change in the culture according to Trice and Beyer (1993). Hollins (2006) explains, the "culture of practice that most teachers started out with included beliefs and practices that operated against improving teaching" (p. 50).

The need for change is a relevant factor in the educational system. Instructional leaders, while coaching teachers in their practice, can implement strategies to lead successful change as tools (Bambrick-Santoyo, 2010; Muhammad, 2015). These strategies include creating a sense of urgency, creating a guiding coalition, developing a vision, communicating the change vision, empowering teachers to act on the vision, generating short-term goals and celebrations, consolidating gains and producing more gains, and finally, institutionalizing the changes by anchoring them into the culture of the school or organization (Robinson, 2011).

Lewin's Three-Step Model

Kurt Lewin's model and his thoughts on organizational change are well known and often referenced by those who research change theories. Lewin is considered to be the pioneer of change theory (Harvey & Broyles, 2010; Schmidt, 2010). This theory of change is comprised of three primary stages: Unfreeze – Move – Unfreeze (Harvey & Broyles, 2010; Lavoisier, 2001; Walker & Vogt, 1987; Schein, 1996).

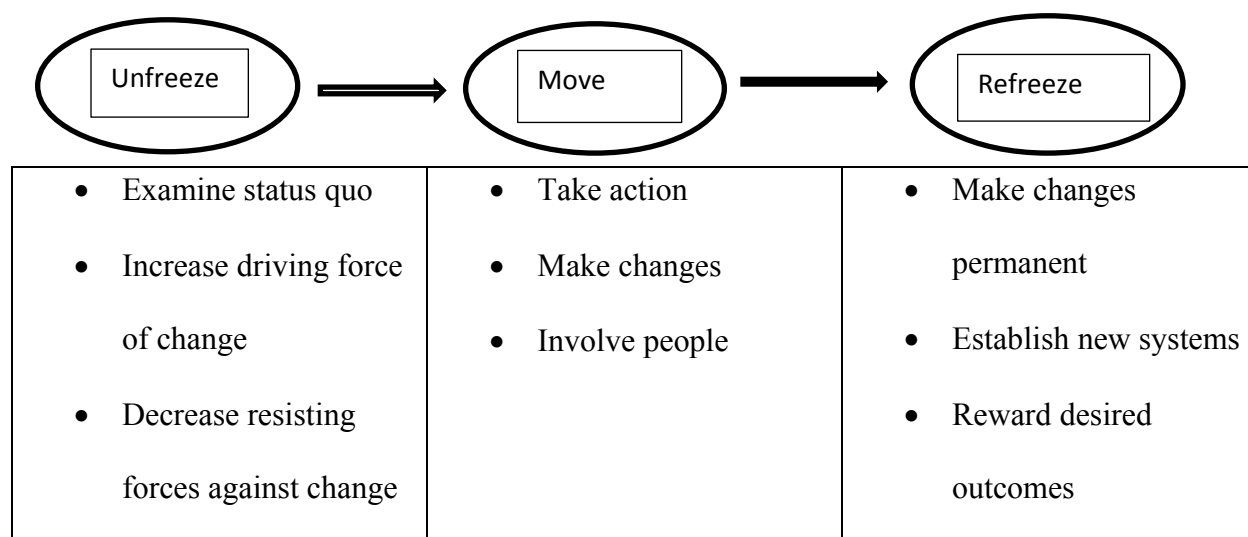


Figure 2. Lewin's Three-Step Model (Harvey & Broyles, 2010)

Using a more traditional psychological approach, Schein (2004) discusses his analysis in terms of disequilibrium, leading to emotions of anxiety and guilt, which results in a restructuring of one's thinking to reestablish equilibrium in the new context. This discomfort becomes the motivation for change, or the need to solve a problem, and/or analyze data to achieve a goal. In the Unfreezing stage, Schein (2004) posits "...Some sense of threat, crisis, or dissatisfaction must be present before enough motivation is present to start the process of unlearning and relearning" (p. 32).

In Lewin's Change Model, stage two, referred to as Move (Figure 2), systems will encourage and embrace change when the organizations identity is not compromised; however, the problem can be resolved (Schein, 1992, 1996, 2004). Harvey and Broyles (2010) argue the desirable outcome must benefit the system's participants or the change. Lewin understood the process in change and that it is not a singular event (Collins, 2001; Harvey & Broyles, 2010; Kotter 1996; Levasseur 2001). It is during this step where communicating the vision is critical to fostering change. This step is known to be the most difficult step in this process. Principals who

are successful at diminishing or minimizing challenges develop the momentum necessary to complete this step (Kotter, 1996, 2001; Kotter & Schlesinger, 2008; Walker & Vogt, 1987; Zimmerman, 2006).

Step three is referred to by Lewin as Refreezing which the new state of equilibrium must be strengthened in order to prevent the system from a natural tendency to adjust itself back into its original state (Walker & Vogt, 1987). Instructional leaders must take this time to capitalize on their successes in order to use the momentum built to sustain change and foster a culture supportive of future change (Kirtman & Fullan, 2016, Senge, 2010; Fullan 2010).

John Kotter's Change Theory

Kotter's (1996) eight-step change model is as follows: (a) establishing a sense of urgency, (b) creating a guiding coalition, (c) developing a vision and strategy, (d) communicating the change vision, (e) empowering the employees to carry out the vision, (f) generating short-term wins, (g) consolidating gains and producing more change, and (h) anchoring new progress and approaches to culture (Figure 3). His model is based on his findings that change efforts often fail due to common mistakes committed by organizational leaders during the process: (a) allowing complacency, (b) failing to create a powerful guiding coalition, (c) underestimating the power of vision, (d) failing to properly communicate the vision, (e) allowing obstacles to remain blocking the vision, (f) not celebrating or not determining short-term wins, (g) declaring progress and gains too soon, and (h) neglecting to secure changes into the culture.

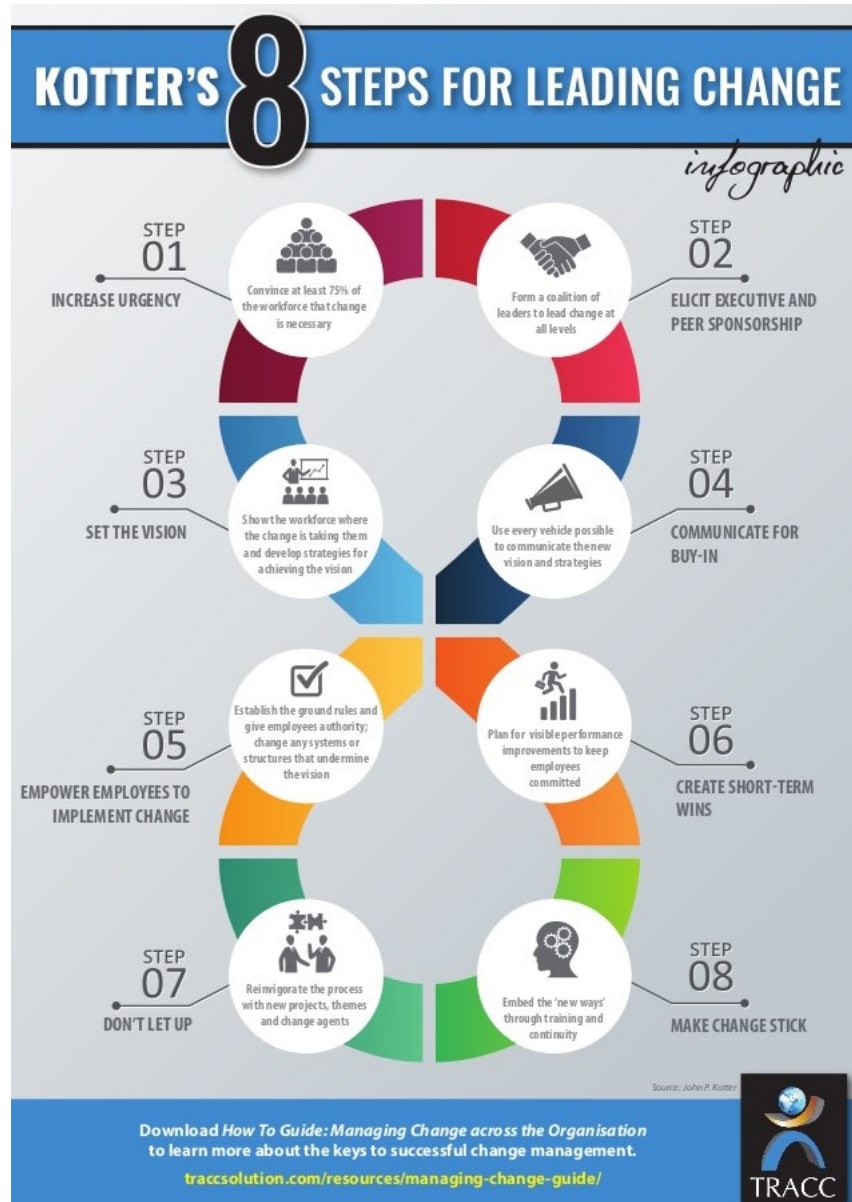


Figure 3. Kotter's Eight Steps for Leading Change Infographic

Kotter's (1996) eight-step change model has been used in studies involving transformational and systems change. Although it was originally designed for the private industry use and the corporate sector, Kotter's model provides a template for higher education institutions to develop change strategies (Eddy, 2003). According to Kotter, one of the core characteristics of great leadership is the ability to create a vision that stakeholders buy into and pursue to realization (Gutpa, 2011; Kirtman & Fullan, 2016; Muhammad, 2015, Senge, 2012).

Kotter believed that 70-90% of an organization's success or failure in effecting transformational change was attributed to the organization's leadership. Kotter portrayed the ideal leader as, "never letting up until you get the vision of what you wanted...and then securing it and institutionalizing it enough so it sinks into the culture so the winds of tradition do not blow it back where it started" (Newcomb, 2008, p. 6).

Step One: Establish a Sense of Urgency

The first step in Kotter's model is to 'Establish a sense of urgency'. A sense of urgency is created by an outside event, perception, or change that triggers new approaches to the learning environment and/or classroom instruction (Bambrick-Santoyo, 2010). Kotter (1996) calls this a sense of urgency because the change can be perceived as a threat to the practices that have been familiar, but a leader can assist in the enabling of the group to attempt promising new practices. The sense of urgency was shown by the leaders, in this study principals', new focus on data driven instruction, which will communicate a greater demand for professional development in the areas of PLCs and instruction. According to Schein's (2004) process theory in order to create imbalance and discomfort, disconfirming data must be sufficiently present.

Acting with urgency should first be grounded in a clear understanding of the organizations needs and their current reality (Senge, 2012). The sense of urgency was shared throughout the district, with site administration leading the charge. These principals must also be positive role models, with the abilities to offer proactive explanations which illustrate the connections between new approaches and improving organizational performance (Burgess & Houf, 2017; Hood, 2015; Muhammad, 2015). People need to know and feel the urgency of the problem or crisis at hand. Kotter (1996) reasons that people often lose hope and direction unless change agents are continually providing evidence and emotional motivation to keep them going.

While there is pressure from the State of California to have students perform at higher levels, Kotter and Cohen's (2002) argument for complacency is based on the human nature of denial; which is a natural reaction to stress. Other causes of complacency include low performance standards, too narrow of a focus, and lack of performance feedback (Kotter, 1996).

Kotter suggested there are several factors that contribute to complacency (Figure 4). This is in alignment with creating a sense of urgency.

Sources of Complacency
The absences of a major and visible crisis
Too many visible resources
Low overall performance standards
Organizational structures that focus employees on narrow functional goals
Internal measurement systems that focus on the wrong performance indexes
A lack of sufficient performance feedback from external sources
A kill-the-messenger-of-bad-news, low-candor, low-confrontation culture
Human nature, with its capacity for denial, especially if people are already busy or stressed
Too much happy talk from higher-ups/management

Figure 4. Sources of Complacency. From *Leading Change*, Kotter, J. (1996)

Step Two: Creating a Guiding Coalition

Leading change is rarely done single-handedly. The leader must paint a picture of the future so that others can see what is possible and share this passion and enthusiasm with the people around her (Kouzes & Posner, 2012). These people must be committed and influential (Fullan, 2014; Gordon, 2017; and Kouzes & Posner, 2012). Unless the principal is an active participant and supporter, major change is impossible at the site level. Kotter (1996) believes the

following four characteristics are critical in creating a coalition: a) Position power: having key players on board that are in key positions; b) Expertise: there are various points of view generated through work experience, gender, ethnicity; c) Credibility: those in the group must have a positive and solid relationship with the ability to assist the leader in gaining “buy-in” with others involved in the process; and d) Leadership: people chosen to be included in the group are proven leaders with the abilities and skillset needed to drive change (Gordon 2017; Kirtman & Fullan, 2016; and Wiseman, 2010).

Step Three: Developing a Vision and Strategy

People have an inherent need to know in which direction they are going and how they will get there. The key is for the Guiding Coalition to develop a picture of the future in which they can communicate relatively easy and appeals to a wide audience (Kotter, 1996). A strategy used to create a vision involves a series of specific, measurable, achievable, results focused and time bound goals (S.M.A.R.T.) (Doran, 1981). S.M.A.R.T. goals allow for a systematic and evidence-based approach which enables the use of performance measurements.

According to Kotter (1996), there are six characteristics of a compelling vision: a) Imaginable: a clear picture of what the future will look like; b) Desirable: this vision will appeal to the stakeholders interests, short and long term; c) Feasible: must be realistic and attainable; d) Focused: concise and clear guidance through the process; e) Flexible: the vision must allow for changing conditions, individually and in response to obstacles or adversity; and f) Communicable: easy to communicate within a five minute time span (Kotter, 1995, 1996; Kouzes & Posner, 2012; and Senge, 2012).

Leadership and the vision of leaders are important. Senge believed a shared vision is imperative for those collaborating and involved in the learning because it provides the focus and

energy for learning. Once the guiding coalition is developed and the vision refined, it is time to communicate that vision.

Step Four: Communicating the Change Vision

The challenge for the coalition is to ensure that individuals at all levels of the organization understand and ‘buy-in’ to the vision. In schools, coalitions might accomplish this by championing a new instructional practice, trying it out themselves, and making it the focus of their work with teachers. Leaders need to paint a picture or share the collective vision through conversations, case studies, relevant stories and examples. Primarily, leaders must “walk the talk” (Kotter, 1996). One of the most important roles for a school’s leadership is for the principal to be a change agent. It takes committed staff and a principal to change how a school environment does business through providing support and assistance in the implementation of new practices (Hord & Sommers, 2008). Communicating the rationale and qualifying the need for change immediately and in advance can lower the resistance to change (Collins, 2001; Cowley, 2007; Kotter, 2006; Levasseur, 2001; and Sinek, 2009).

According to Kotter (1996), vision is communicated most effectively when various vehicles of delivery are used: group meetings, emails, newsletters, posters, informal one-on-one conversations. When the same message is being conveyed by several different people in different ways, there stands a better chance of the message being heard and remembered on both an intellectual and emotional level (Kirtman & Fullan, 2016; Kotter, 1996; and Senge, 2012). In his research, Kotter (1996) found that the vision was not communicated in the same rate as other messages within an organization. He reports that one-third or more of the agenda at an annual meeting is often information laden in tradition and not on the transformative message (Figure 5).

This can be seen as a waste of time or filler information and is detrimental to the change process (Gordan, 2017; Kotter, 1995; and Kouzes & Posner, 2012).

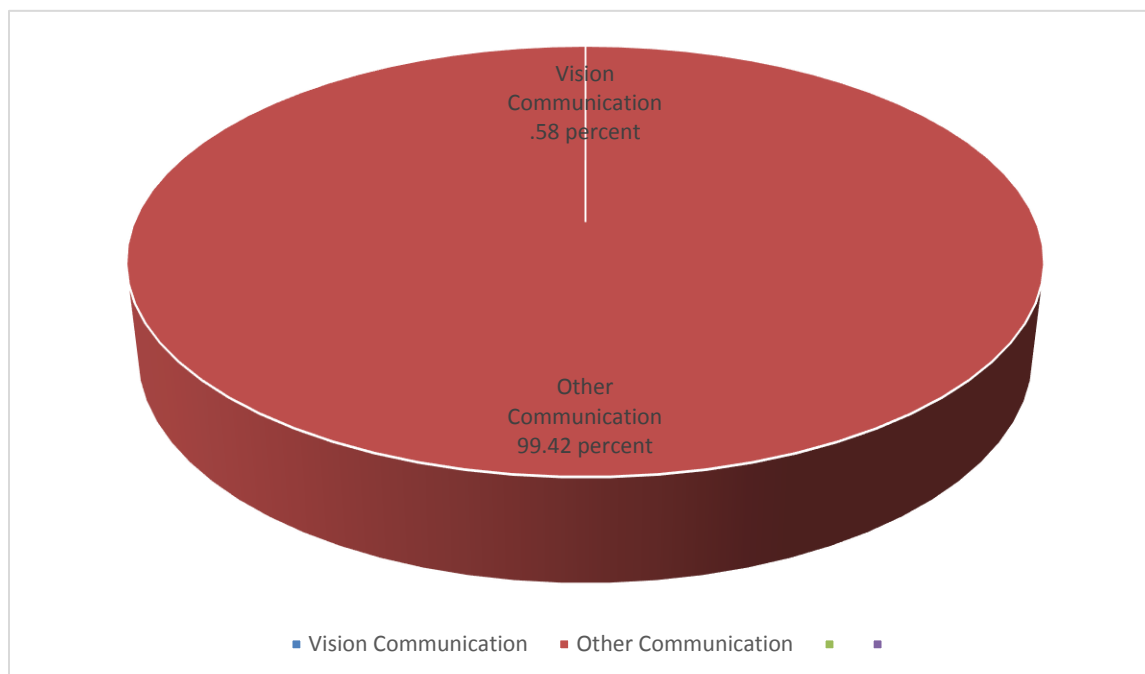


Figure 5. Failure to Communicate: How a Change Vision gets Lost in the Clutter (Kotter, 1996).

Kotter's (1996) research shows the following characteristics as being integral to the communication of the change vision: a) Keep it simple: focus on simple and direct communication, jargon free and concise; b) repeat the message over and over using various vehicles; c) address inconsistencies explicitly; d) listen and be listened to: two-way conversations are imperative; and e) if those involved in the process do not accept the vision, the following two steps will fail.

Step Five: Empowering Employees to carry out the Vision

Broad based action is about empowering and enabling every staff member to implement the vision. The goal is to empower teachers to try new ideas, convincing them to make the necessary sacrifices while changing their instructional practices. As part of this step, the

coalition provides supports (funds, time, and materials) and training to empower broad-based action toward the vision (Kotter, 1996). Fullan (2014) pointed out principals cannot shoulder responsibility alone; therefore, the empowerment of staff to make autonomous decisions might increase the overall effectiveness of the vision for teachers may feel a stronger connection to the school in which they practice.

Kotter (1996) revealed the impact on change efforts, like change reform, that formal structures and systems can have. It's formal processes (Schein, 1992) or rules that can slow down the change effort. This is the recognition that teachers who support the change may encounter barriers. Kotter described four important barriers that can leave members of the organization feeling thwarted (Figure 6).

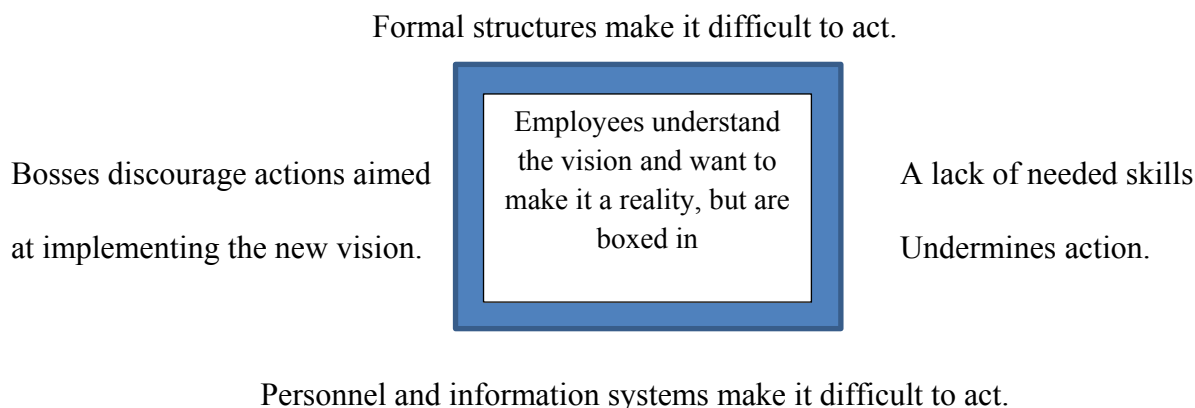


Figure 6. Empowering broad-based action. *Leading Change*, J. Kotter, 1996.

Step Six: Generating Short-Term Wins

It is up to the leaders to define and proactively promote visible improvement successes. Teachers want to be associated with success. Teachers want to perform well and receive recognition for their efforts and performance (Fullan, 2014; Muhammed, 2009). Teachers want to feel as if they are making a difference in the lives of their students and be part of a winning team (Fullan, 2001).

According to Kotter (1996), short-term wins have three characteristics: a) Short-term wins are visible: they are measurable and reachable; b) The success is explicit and clear; and c) the win is undoubtedly attributed to the change initiative. Short-term wins are highly visible changes that propel change forward quickly. These short-term wins play a role in the success of the change process. For change to stay on track, leaders need evidence that the change is productive and positive (Bambrick-Santoyo, 2010; Collins, 2014; Kotter, 1996).

Step Seven: Consolidating Gains and Producing More Change

The increased visibility created by the short-term wins facilitates this next step: transforming the culture by revising policies or systems that oppose the vision. This turn in attention to produce more change brings about the hiring or promoting of individuals who support and can enact the vision (Kotter, 1995; Kouzes & Posner, 2012; Parish, Cadwallader, & Busch, 2008). The constant revisiting of the vision and ensuring that decision-making directly relates to the change effort can energize the process with additional targets.

According to Kotter (1996), “Whenever you let up before the job is done, critical momentum can be lost and regression may follow” (p. 133). The organization must continue to show individuals the need for change as well as make them feel the need to change using new situations or incidents that occur. The organization must carefully consider the necessity of additional initiatives due to the possibility of exhausting members while continuing the implementation of initiatives until the change effort is a success (Collins, 2014; Kotter, 1996; Robinson, 2011).

Step Eight: Anchoring New Approaches in the Culture

The portion of Lewin’s change process known as refreezing, is supported by this final strategy presented by Kotter. It is a must to firmly plant the changes into the culture and norms

of the organization (Herold & Fedor, 2008; Kotter, 1996; Kotter & Cohen, 2002). Culture refers to the “norms of behavior and shared values among a group of people” (Kotter, 1996, p. 148). Norms are normally created and maintained by the those in the organization. The norms of behavior are the common ways of acting during meetings, conferences, and any other situation in which these behaviors are agreed upon (DuFour, 2002; Kotter, 1995; Perry, 2011).

Culture is difficult to change and anchoring it to new patterns requires connecting the successful change to the change efforts initiatives and practices, along with establishing how the changes influence and benefit student performance (Bridges, 2003). Telling stories that are in alignment with desirable behaviors is one way to make sure the changes will become embedded in the new culture (Collins, 2001; Kirtman & Fullan, 2016; Kotter & Cohen, 2002; Wiseman, 2010).

Community College Change Initiatives

McKinney and Morris (2010) used Kotter’s (1996) change framework to examine the nature and degree of organizational change in community colleges that offered baccalaureate degrees. There was found to be a strong connection between the desired change and the leadership. Of the six presidents interviewed each believed the primary force behind successful transformative change was effective leadership. In particular, they found that prior to introducing a change initiative, leaders must frame the institution’s traditions and attitudes first. Kotter’s first step, establishing a sense of urgency, as well as the second and third were highly emphasized by McKinney and Morris in their research: establishing a guiding coalition and developing a vision for change to achieve positive progression in the change process.

Whelan-Berry, Gordon, and Hinings (2003) found that many organizational change efforts fail while in the first step of Kotter’s frameworks. In a college, what the president may

think is important may not be what is important to other stakeholders. Whelan-Berry et al. (2003) recommended that the leaders should allow time for stakeholders to cycle through the framework and the change process. One of the primary risks for failure was found to be the leader was ready to go forward in the process while the rest of the employees were not. The researchers found that group and individual change processes should not be treated as separate processes yet together, intertwined when effecting organizational change. An example of this lies in a multi-campus college system where failure for one campus to not follow a system change will negatively affect those campuses that do whether their individual leaders share the same goals or timelines as the others.

Gaps in the Literature

In the last 30 years, scholars and practitioners have shifted their perspectives on change, stating change is dynamic and complex and not static and predictable (Eckel & Kezar, 2003; Kanter, Stein, & Jick, 1992; Tichy & Devanny, 1986). Scholars are now viewing organizational change as an intentional process which unfurls in stages with the planning component being essential in the early stages of the process (Kotter, 1995).

Most theories of change emerged from the landmark work of social psychologist Kurt Lewin (Kreitner & Kinicki, 2008). In 1947, Lewin developed a three-step model of planned change which explained how to initiate, manage and sustain the change process. The three stages are: a) Unfreezing old behaviors, core values, and attitudes; b) Making changes; and c) Freezing new behaviors, core values and attitudes (Schein, 1980). According to Lewin (1951), change may be achieved by two types of actions. The first action is to increase the “driving” forces towards change; the other is to reduce the “restraining” forces that create resistance to change.

As a result of practitioners and researchers building off of Lewin's (1951) theory, there are now numerous multi-stepped process models: a) Havelock's Linkage model; b) Lindquist's Adaptive Model; c) and Eckel and Kezar's Mobile Model which are designed to be followed by leaders when planning on facilitating change.

There has been literature found on the impact of change in higher education and some of the research has been found in elementary education. There are few studies found using Kotter's 8 step-process of change referenced in education; however, not many studies have been done on the actual change process in the secondary educational level. The first gap is that in secondary education arena. Most of the research found on studies of planned change have been in four-year institutions and private industry (Collins, 2001; Eckel & Kezar, 2003; Kotter, 1996; Tichy & Devanny, 1986). As a result, the study of planned change through the framework of John Kotter was not well understood nor able to be replicated for it had not been attempted. This has become such a popular change theory that it can no longer be overlooked, and more research needs to be done. Kotter's framework was not easily recognizable by scholars despite it being common in other areas of business (Cohan & Brawer, 2003; Eckel & Kezar, 2003).

The second gap is in the development of the administrator in the organizational change process. Research is lacking in information regarding how well-prepared leaders continue to be vital to the continued and sustained success of institutions and their students (Ottenritter, 2006). Because planned change brings on an array of complexity that requires leaders to rethink their mission, outcomes, internal systems, it creates an environment of tension and fear of the unknown for those involved in the process (Collins, 2001; Kotter, 1996; Kouzes & Posner, 2012).

Summary

This chapter reviewed the relevant literature related to the topics of organizational change, PLCs and Kotter's framework of change. Kotter's work has been used throughout the change efforts of major corporations around the world. The client list of Kotter International, a change company founded on Kotter's work to help leaders build capacity to drive transformation in their organization, includes over 150 major corporations. Some of these corporations include: Capital One, Coca-Cola Company, Dell Inc., Estee Lauder Companies, Merrill Lynch, MTV, and World Bank (Kotter International, 2010).

There has been little research done in an elementary or secondary educational setting utilizing Kotter's framework in its entirety. There have, however, been studies in education referencing Kotter's eight steps to change focusing mostly in higher educational settings, such as universities and pharmacy school.

CHAPTER 3: METHODOLOGY

Introduction

This chapter addresses the methodology to be used in this study. It is organized into the following sections: (a) purpose of the study, (b) research questions, (c) research design including population and sample, (d) the instrumentation to be used in this study, (e) the data that will be collected, (f) analysis of said data and (g) limitations of the study. This study utilizes a mixed-methods research design using both qualitative and quantitative research. According to Creswell (2013), mixed methods employ both qualitative and quantitative research methods to draw a fuller picture of the research questions. The mixed methods research design uses a combination of qualitative and quantitative research methods to better understand the research questions (see Figure 7). This method was selected because the researcher sought to identify perceptions and describe reasons for those perceptions as suggestions for improvement. The research and data collected is comprised of results from a survey as well as interviews. As Creswell (2003) describes, this research involves “a detailed description of the setting or individuals... [and an] analysis of the data for themes or issues” (p. 190).

Quantitative

- A process of gathering data using instruments with preset questions and responses
- A process of gathering numerical data
- A process of gathering information from a large number of individuals
- Emphasis on collecting scores that measure distinct attributes of individuals and organizations
- Emphasis on collecting and analyzing information in the form of numbers

Qualitative

- A process of collecting data using forms with general, open-ended questions which allow participants to respond
- A process of gathering text or picture data
- A process of gathering information from a small number of individuals
- Researchers listen to the views of participants in the study
- Researchers ask general, open-ended questions and collect data in places where people live and work

- Emphasis on the procedures of comparing groups or relating factors about individuals or groups in experiments, co-relational studies, and surveys
- Research has a role in advocating for change and bettering the lives of individuals

Figure 7. Data gathering designs. From *Educational research: Planning, conducting, and evaluating quantitative and qualitative research*, by J.W. Creswell, 2013, Pearson Education Upper Saddle River, NJ.

Research Design and Methodology

Initially the researcher planned to conduct a purely quantitative study using only a survey as the instrument to determine teacher and teacher leader perceptions. It was decided that a mixed methods approach would be more appropriate in order to question and probe deeper into determining the participants' perceptions. The researcher believed that questioning and probing deeper to determine reasons for the perceptions and suggestions for improvement would be more beneficial to school leaders, thus impacting the school reform and increase student academic outcomes.

This study was descriptive, describing elements utilized by principals to change teacher delivery. According to Krathwohl (2004), descriptive studies often “illuminate parts of our world that we might otherwise not encounter” (p. 32). Descriptive studies are about “perceiving important aspects of situation (possibly those missed by others) and organizing and presenting them so richly and vividly that they come alive in the theater of the mind. Such description makes the obscure real and the understandable (Krathwohl, 2004). According to Isaac and Michael (1995), descriptive research is a process of bring situations or events to life. Descriptive research was the chosen methodology as it can collect factual information to identify current conditions or practices and provide information that might be applied for future situation (Fraenkel & Wallen, 2009; Gay et al., 2006).

Setting and Participants

Participants in this research were highly qualified teachers from three of the five comprehensive high schools in a large urban district in Northern California. Participating teachers have been required by the district to participate in education and training in the Professional Learning Community (PLC) process; however, there was one comprehensive high school that has been introduced to Kotter's Eight Steps of change as well as received more detailed training and practice in the data team process. The data team process assured that the teachers of the control group were presenting their curriculum utilizing research-based instructional strategies through positive measurable outcomes to work with their school's students. All staff has already been required by the district to participate in education and training in the Professional Learning Community (PLC) process. The data team process, a strategy from the frameworks of the PLC process, will assure that the participants are presenting their curriculum utilizing research-based instructional strategies they have found through positive measurable outcomes to work with their students.

All secondary teachers in the three comprehensive high schools were asked to participate in a 51-question survey regarding their perception of the school's change initiative (see Figure 10). The education, training, and survey population consisted of at least 120 credentialed teachers and no part-time employees. No participant was paid to participate in this study.

The participants chosen for this study included secondary teachers at three comprehensive high schools in a Unified School District in Northern California. The schools currently serve more than 23,500 students. The District serves three Northern California cities: Stockton, Lathrop, and Manteca, as well as the town of French Camp. The district is approximately 113 square miles and is located in the southern part of San Joaquin County. The

schools in the Unified School District represent the socioeconomic and ethnic diversity found throughout the state of California. The communities are diverse and include urban settings, such as those found in larger cities and rural school settings, which are made up of numerous school sites throughout the farm landscapes of San Joaquin County (San Joaquin County Office of Education, 2017). The student population is representative of the state of California, in English Language Arts with approximately 45.5% of students meeting or exceeding standards and in Math with approximately 27.98% of students meeting or exceeding standards on the CAASP test (CDE, 2018).

The researcher requested permission from the superintendent of the Unified School District for the researcher to contact secondary teachers for the purposes of participating in an electronic survey and oral interview. Of the five comprehensive high schools, three (60%) responded yes, and two (40%) did not respond. The final participation rate for consenting comprehensive high schools was 60% of the comprehensive high schools in MUSD represented in the sample.

The researcher contacted each of the schools within the three agreeing comprehensive high schools. Two hundred and one secondary teachers were identified with 165 (82%) agreeing to participate in the online survey (Figure 8). All 165 secondary teachers completed the online survey. In addition to the electronic survey, participants were asked if they would be willing to participate in a follow-up telephone interview. The researcher randomly selected two secondary teachers from each subgroup of teachers divided into the following groups: English Language Arts, Math, Other disciplines.

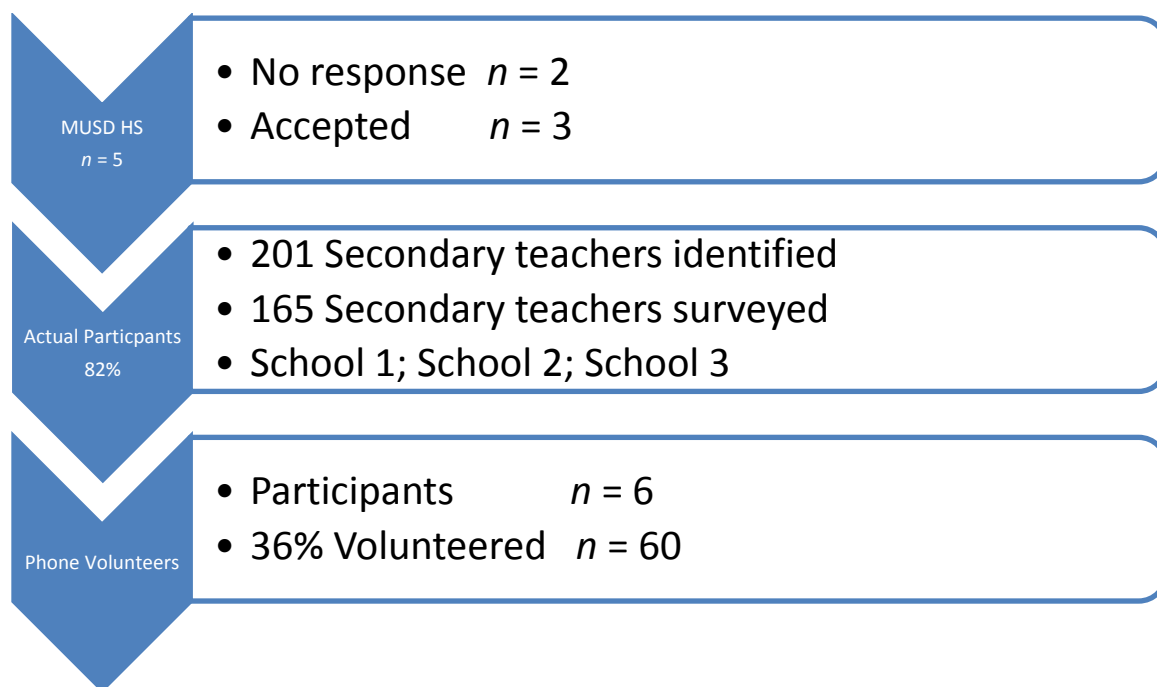


Figure 8. Chart of population participants

The schools that participated in the research were grouped into four categories related to achievement on the CAASP; Standard not Met, Standard Nearly Met, Standard Met and Standard Exceeded of all 11th grade English Language Arts and Math scores as well as D and F charts for each site. For the purpose of these tables, the district averages of the 1,898 11th graders enrolled in the district who took the test in ELA and Math CAASP scores meeting/exceeding standards, Special Education, Migrant, and enrollment by ethnicity (see Figure 9) are as follows:

	African American	American Indian	Asian	Filipino	Hispanic/Latino	Pacific Islander	White	2 or more Races
ELA	36.26%	NA	56.79%	70.81	46.41%	35.71%	57.62%	62.97%
Math	10.01%	NA	31.48%	39.1%	13.84%	28.57%	24.02%	15.39%
Enrollment	19.8%	0.3%	11.8%	8.6%	49.2%	1.3%	5.7%	3.2%
SES ELA	32.67%	NA	54.64%	58.53%	42.68%	NA	44.44%	42.85%
SES Math	4.95%	NA	29.29%	37.50%	12.48%	NA	17.16%	7.69%

Gender: Female ELA Score: 56.26% Math: 18.15%

Male ELA Score: 45.33% Math: 20.22%

With Disability ELA Score: 7.29% Math: 1.05%

Migrant: ELA Score: 33.33% Math: 18.18%

Figure 9. Smarter Balance Test Results, CAASP Reporting, 2017

Instrumentation and Measures

The survey instrument (Appendix A) was developed by the district office in cooperation and piloted with all five comprehensive high schools to assess staff perception with Kotter's (1995) eight step change model embedded. The survey instrument included 51 questions designed to assess staff perception of change, as determined by how far along they are in the change process using Kotter's eight step change model in accordance to four major areas of focus: (a) Environment, (b) Professional development, (c) School culture, and (d) School Environment and Support. The survey embedded two questions to address each of Kotter's eight steps yielding a total of 16 questions within the 51-question survey. The questions were formatted using a four-point Likert scale, which range from "1" (*small extent*) to "4" (*very great extent*) with the addition of three additional choices: *not at all*, *I don't know this*, and *no answer*. A high score indicates a positive perception of the change initiative and a participant who

believes that the organization is far along the change process according to Kotter's (1995) eight step change model.

The survey embedded two questions to address each of Kotter's 8 steps yielding a total of 16 questions within the 51-question survey. The questions have been formatted using a 4-point Likert scale, which range from 1 (*small extent*) to 4 (*very great extent*) with the addition of three additional choices: *not at all*, *I don't know this*, and *no answer*. A high score indicates a positive perception of the change initiative and a participant who believes that the organization is far along the change process according to Kotter's (1995) eight step change model.

Samples of survey questions (Appendix A) from the Environment portion:

1	There is a clear academic vision for this school.							
2	The school has high standards for student's academic achievement.							

Samples of survey questions (Appendix A) from the Support portion:

3	The site administration at this school encourages collaboration among teachers to increase student learning.							
7	I feel supported by the school administrative team.							

Samples of survey questions (Appendix A) from the Professional Development portion:

3	Professional development at this school for teachers is aligned to school goals.							
4	Learning from other teachers at this school has improved my performance in the classroom.							

Samples of survey questions (Appendix A) from the Culture portion:

12	The site administration emphasizes the expectation that all students will meet content and performance standards.							
14	The site administration uses data to shape and revise plans, programs, and activities that advance the vision.							

In addition to the electronic survey, quantitative data was gathered from a Professional Learning Community (PLC) audit rubric (see Appendix C). This instrument was piloted as well by one of the participating comprehensive high schools. The PLC audit measures the growth of the site in their PLC implementation and along with John Kotter's definition of change, the researcher will be able to better gauge the degree of change related to the implementation of Kotter's strategies.

The interview questions consisted of 10 open-ended questions designed by the researcher (Appendix B). The questions were created to encourage the participants to elaborate on the process and any suggestions for improvement. Hatch (2002) recommends that interview questions be open ended so as to capture the perspectives of the participants. The interviews solicited information from the participants and enhanced the survey data with specific examples.

Reliability

The Senior Director of Secondary Education from the designated district designed the instrument around the strategies identified by Kotter (1996) and supported them throughout the literature as necessary for leading successful change in organizations (see Appendix A). The Senior Director of Secondary Education along with a vetting system that included the researcher piloted the instrument for one year prior to administering it for the purpose of this study.

Kotter's strategies are identified as (a) establishing a sense of urgency, (b) creating a guiding coalition, (c) developing a vision and strategy, (d) communicating the change vision, (e) empowering employees for broad-based action, (f) generating short-term wins, (g) consolidating gains and producing more change, and (h) anchoring new approaches in the culture to make it stick.

A pilot test of the instrument was conducted by the researcher with the purpose of developing a reliable survey instrument (Creswell, 2008; Isaac & Michael, 1995). The survey was conducted on a sample consisting of all teachers at the five comprehensive high schools which total 315 secondary teachers through a written or electronic survey. These secondary teachers also participated in the PLC process and were encouraged to strive for high student performance in Math and English Language Arts. The school district posited that the sample was representative of a typical secondary school community and positive results in the pilot test suggested the applicability of the instrument in a more focused range of participants in a school community.

The schools volunteered to participate in the field test for no external rewards. Three of the comprehensive high schools in the sample agreed to participate in a concurrent validity and reliability study. Based on the analysis of the descriptive statistics for the instrument, according to researchers' criterion, Meehan et al. (1997), suggested the instrument measured and differentiated levels of maturity in the PLC process. The pilot verified the strength of the instrument (validity) and the consistency (reliability).

Research Questions

In order to explore the impact of John Kotter's Eight Strategies to transforming successful change and its effect on a secondary educational setting, the research questions were as follows:

1. Does John Kotter's eight step change model work to implement systematic change in a secondary educational setting?
2. Must the Eight Strategies of Successful Change be in order as Kotter insists or can they be skipped, continually implemented or be used out of order?
3. What are teachers' perceptions of the effectiveness of Kotter's strategies used by their principal and administrative team to support positive change?

Data Collection

This study was focused on the implementation of the organizational change initiative of an urban comprehensive high school in a Northern California school district using John Kotter's framework on systems change. To explore this change initiative, the researcher used a descriptive mixed-method research design approach taking place in three phases.

In phase I, the researcher observed the steps of teacher education and introduction to John Kotter's framework in one comprehensive high school out of the three the researcher will be gathering data from.

In phase II, the researcher distributed the survey (Appendix A). The researcher interviewed willing teachers to confirm and qualify the perceptions answered in the survey.

Data Analysis

The researcher conducted this study using grounded theory. The major characteristics, as stated by Creswell (2013), are the following: the process has distinct phases that are conducted over time; journaling/memoing becomes part of the developing theory as the data is collected and analyzed by the researcher; interview/forums are the primary form of data collection; and this grounded theory will attempt to explain the process of John Kotter's framework and its effectiveness in systems change and student achievement.

The researcher used memoing in Phase I to assist in the development of the theory and steps taken to implement Kotter's framework. According to John Kotter (2012) in *Leading Change*, each of the steps is critical for successful change, and to skip or omit a step can impede an organization's transformation. Memoing allowed the researcher to determine if this theory is true for the researcher is predicting it is not. Using a grounded theory approach allowed the researcher to use the research questions that were asked of the participants to focus on the understanding of the individual's experience in the process and to be able to identify the steps or strategies in the process (Creswell, 2013).

Phase II of the research consisted of data analysis of the survey (Appendix A). The 51 questions were analyzed to determine how far along they are in the change process using Kotter's 8 step change model in accordance to four major areas of focus: (a) Environment, (b) Professional development, (c) School culture, and (d) School environment and support.

In phase III, the researcher analyzed the acquired data set to examine the change process and determine teacher perception of the change initiative according to Kotter's (1995) Eight Steps of Change. The study was fully approved by the Instructional Review Board at the researcher's university. A copy of the researcher's NIH Certificate and participant consent are located in Appendix D.

According to Creswell (2013), the process of using quantitative results to inform the qualitative work has been termed a QUAN-qual design. This is explained by using primarily qualitative research in a study.

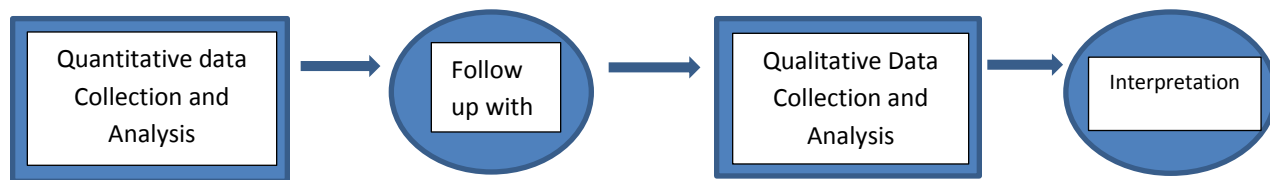


Figure 10. QUAN-qual Design Diagram

From the memoing and interviews, the researcher will code the findings to determine themes in the work collected. This segued into Phase III which is the analysis of the finding of all methods. By triangulating the data and overlaying Kotter's (1995) Eight Steps of Change to this change initiative; the researcher sought to determine the effectiveness of Kotter's (1995) popular business model for change in a secondary education setting, teachers' perceptions and if the framework must be done in succession through the collected data.

Ethical Issues

The researcher built rapport with the participants in order for the interview process to be a viable means of data. The survey was non-biased (Joyner, Rouse & Glatthorn, 2013). The questions were framed so the participants did not feel obligated or forced to answer any of the questions in a way in which they found favorable to the researcher. In order to gather relevant, accurate and meaningful data, the participants must feel safe. The researcher was the principal of one of the high schools at the time of the data collection.

Summary

By overlaying Kotter's (1995) Eight Steps of Change to this change initiative; the researcher sought to determine the effectiveness of Kotter's (1995) popular business model for change in an educational setting, teacher perceptions from sites who have been introduced to Kotter and those who have not been introduced, as well as determine if the steps must be followed as Kotter states in his research, in order, sequential and with overlap. The data

collection procedures and the data analysis plans were discussed in this chapter. Results of the data analysis will be presented in Chapter Four.

CHAPTER 4: RESULTS

Introduction

Chapter 4 reviews the why behind the study, the research questions, the research methodology and the data collection process. This chapter provides a description of the quantitative data obtained from teachers through an electronic survey, along with the qualitative data derived from the follow-up interviews with randomly selected participants within the same sample population. Chapter 5 presents the statistical analysis of the data collected in both narrative and table formats. Analysis of the 11 research questions is described in this chapter. The chapter concludes with a summary of the researcher's findings.

This study's purpose is to identify and describe secondary teachers' perceptions of the effectiveness of John Kotter's strategies when used to facilitate change in their instructional delivery to improve student success. Change as defined by John Kotter is a powerful person on top, or a large enough group from anywhere in the organization, decides the old ways are not working, figures out a change vision, starts acting differently, and enlists others to act differently. If the new actions produce better results, if the results are communicated and celebrated, and if they are not killed off by the old culture fighting its rear-guard action, new norms will form and new shared values will grow, thus fostering, encouraging and making change happen (Kotter, 2012).

This study will determine which strategies the teachers perceived as significant in supporting change as well as provide evidence that either supports or negates John Kotter's (1996) recommendation that each step in his framework must be in succession, implemented one at a time with success prior to moving to the next step with no steps intermingled nor skipped.

Research Questions

Three research questions were used to support the purpose for this study:

1. Does John Kotter's eight step change model work to implement systematic change in a secondary educational setting?
2. Must the Eight Strategies of Successful Change be in order as Kotter insists or can they be skipped, continually implemented or be used out of order?
3. What are teachers' perceptions of the effectiveness of Kotter's strategies used by their principal and administrative team to support positive change?

Methodology

Using a mixed-methods of qualitative and quantitative data, this study was used to understand a research problem. This grounded study is descriptive, relating elements of John Kotter's change theory utilized by principals to change secondary teacher instructional delivery to improve student success. According to Krathwol (2004), descriptive studies often "illuminate parts of our world that we might otherwise not encounter" (p. 32). The purpose of descriptive research, according to Fraenkel and Wallen (2009) and Isaac and Michael (1995), is to collect data and reveal the results. Isaac and Michael (1995) and Creswell (2013) posited that descriptive research is used to thoroughly examine measurable and observable data.

For this study the strategies necessary for successful change proposed by John Kotter (1996) were examined from the perceptions of secondary teachers. The study does not propose to establish a causal relationship between principal behavior and teacher response. The study sought to understand the perceptions of secondary teachers regarding the effectiveness of the strategies and the effects of change in secondary teacher instructional delivery on student success.

In addition to collecting quantitative data, the researcher conducted six oral interviews. Secondary teachers were asked at the conclusion of the electronic survey if there were willing to participate in a telephone interview. The researcher divided willing participants up into three subgroups representing teachers of particular disciplines: English Language Arts, Math, and all others. Two secondary teachers were randomly selected from each subgroup to participate in the telephone interview. The information gathered through these interviews provided the researcher with a deeper understanding of the quantitative data collected through the electronic surveys.

The perceptions and anecdotal observations of secondary teachers assisted the researcher in developing a greater depth and breadth of understanding of the quantitative data. The secondary teachers were each asked 11 interview questions:

1. Which of Kotter's strategies were used by your principal to support change in instructional delivery?
2. In what ways have you changed your instructional practice/delivery to improve student achievements?
3. What has been the focus of that change? What strategies were added?
4. What support did you receive from your administration to implement the change with your instructional delivery?
5. What are your perceptions of the effects of the changes you made on student success?
6. Describe any barriers you may have encountered while changing your instructional practice?
7. How clear were the goals communicated by administration when you learned about the change process?
8. What were some key marker events during this change process that were most memorable to you?

9. what were the three most important advantages of the change process?
10. What were the three most important disadvantages that are most memorable during the change process?
11. What advice would you give to leaders planning to make system-wide changes?

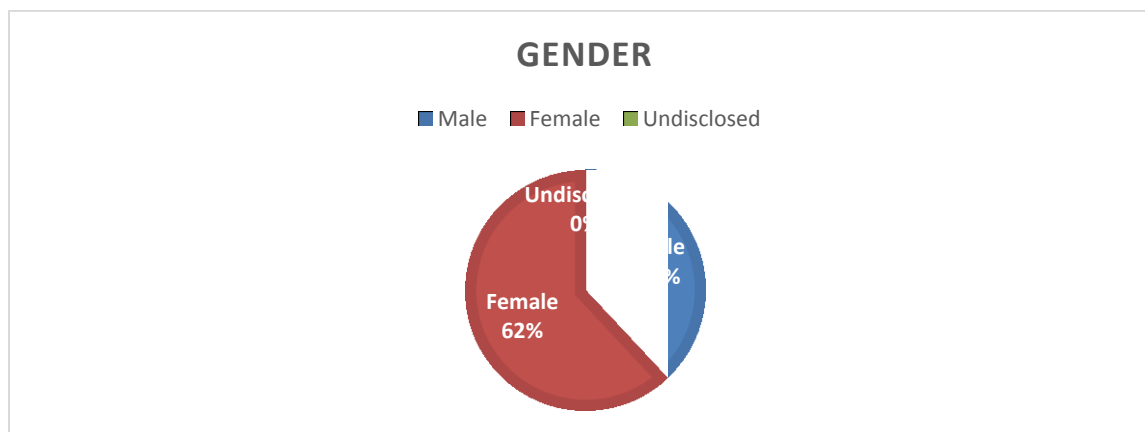
The mixed-methods approach of data collection was used by the researcher to gather quantitative and qualitative information in order to respond to the research questions. The data collected provided a variety of responses on the effectiveness of the use of Kotter's strategies in leading change as well as identified the barriers when changing instructional delivery. After the interviews were completed they were transcribed. The information was analyzed and organized by themes.

Demographic Data

As a portion of the electronic survey, the researcher asked the secondary teachers to respond to demographic questions. The researcher's intent was not to determine relationships between years of experience or years with the school site with the implementation and success of change strategies. Rather the data was presented by the researcher to represent the variety of different configurations, credentialing, and years of experience found in the schools of the population and sample presented in this study.

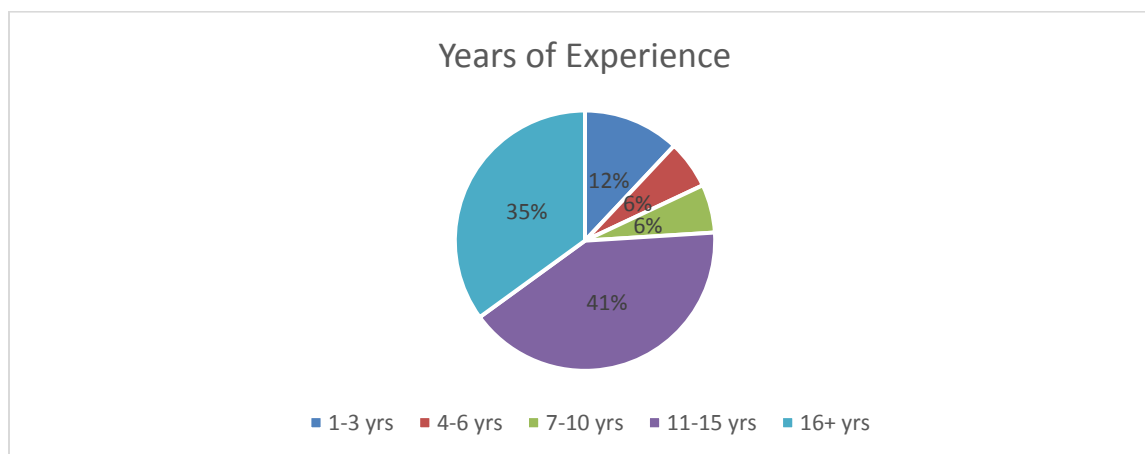
The largest group of respondents in the study were female (see Table 1). Of all the respondents, 62% were female and 38% male.

Table 1

Secondary Teacher Gender

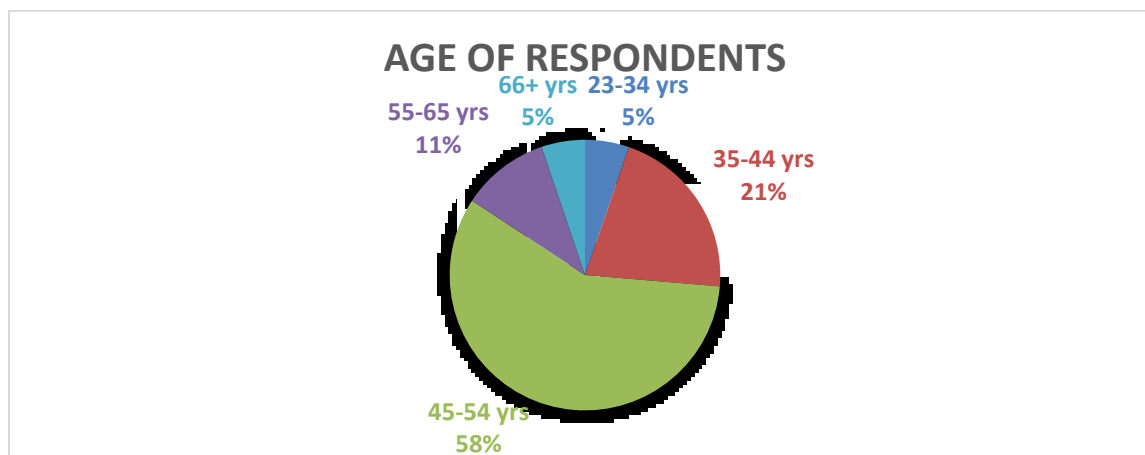
The survey inquired the respondents' teaching experience in years (Table 2). The majority of the secondary teachers that responded to this survey were in the 11 – 15-year experience bracket weighing in at 41%.

Table 2

Total Years of Teaching Experience for Secondary Teachers

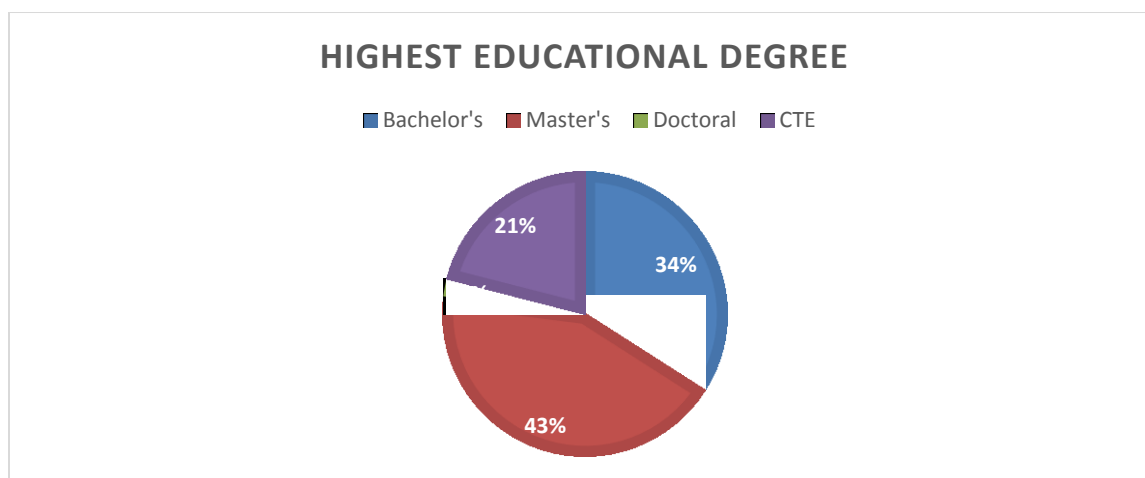
Respondents were asked to give their age (Table 3), in which an overwhelming 58% answered they were in the 45 – 54 age range.

Table 3

Respondents' Age

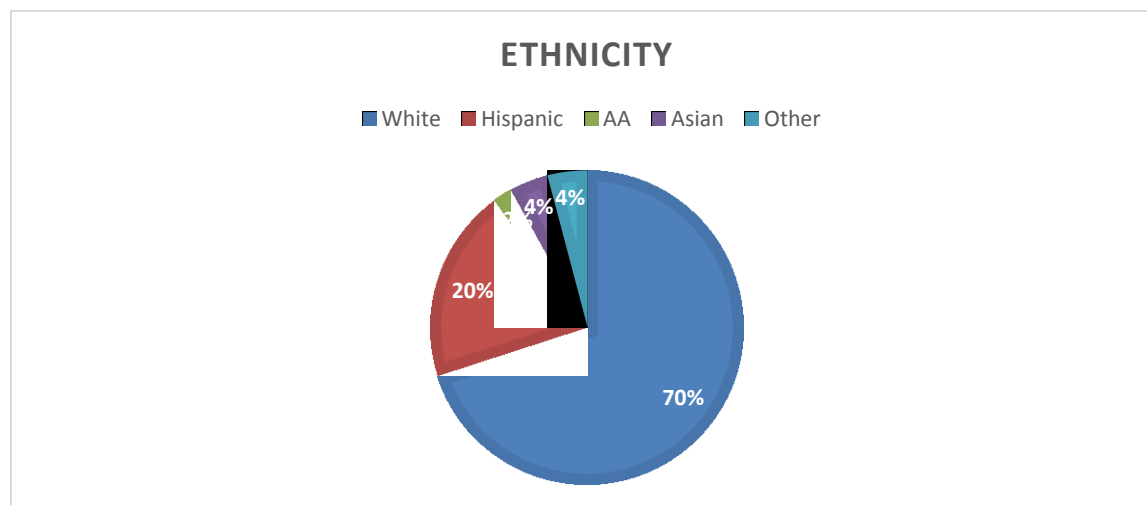
The highest level of education completed was found that 43% of respondents attained a master's degree while 34% attained a bachelor's degree (Tables 4).

Table 4

Highest Level of Education Completed by Secondary Teacher

Lastly, according to the respondents' answers, 70% of the secondary teachers surveyed consider their ethnicity as white, 20% Hispanic, with 2% being African-American (Table 5).

Table 5

Ethnicity of Secondary Teachers

Note. AA = African American

Quantitative Data Analysis

Survey Data

The quantitative data were derived from four questions asking secondary teachers to identify use, importance and effectiveness of Kotter's (1996) strategies when leading change in teacher instructional delivery. A four-point Likert scale was used for each question. Three open-ended questions were developed to gather perceptions from secondary teachers regarding examples of the use of strategies, the barriers encountered in changing instructional delivery, and the effects/benefits of changes made in instructional delivery.

A pilot study was conducted by the researcher with the purpose to develop a reliable survey instrument (Creswell, 2013; Isaac & Michael, 1995). One principal and two secondary teachers were encouraged to provide feedback after completing the electronic survey and oral interview. Feedback from the pilot study participants was used to ensure clarity and conciseness of the survey content.

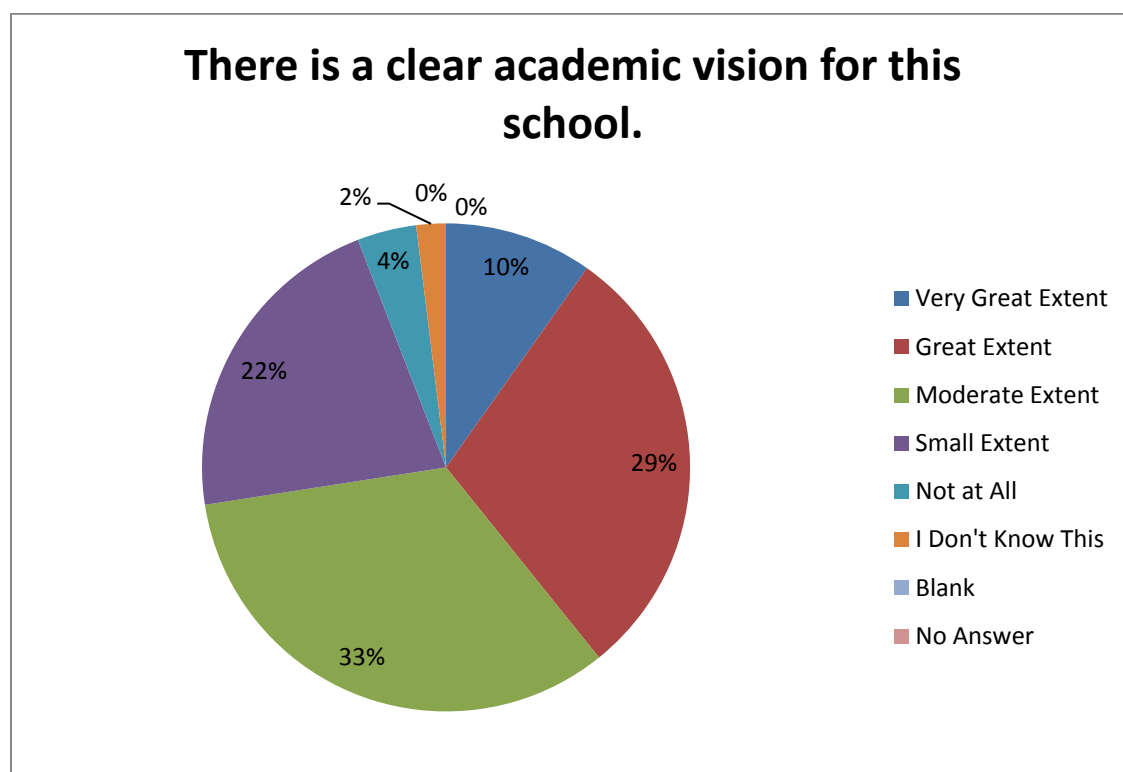
The survey data is divided by school showing the percentages of respondents' answers to the 16 Kotter strategy questions.

School 1 Survey Results

The respondents from School 1 reported that 72% believed there was a clear academic vision for their school (Table 6).

Table 6

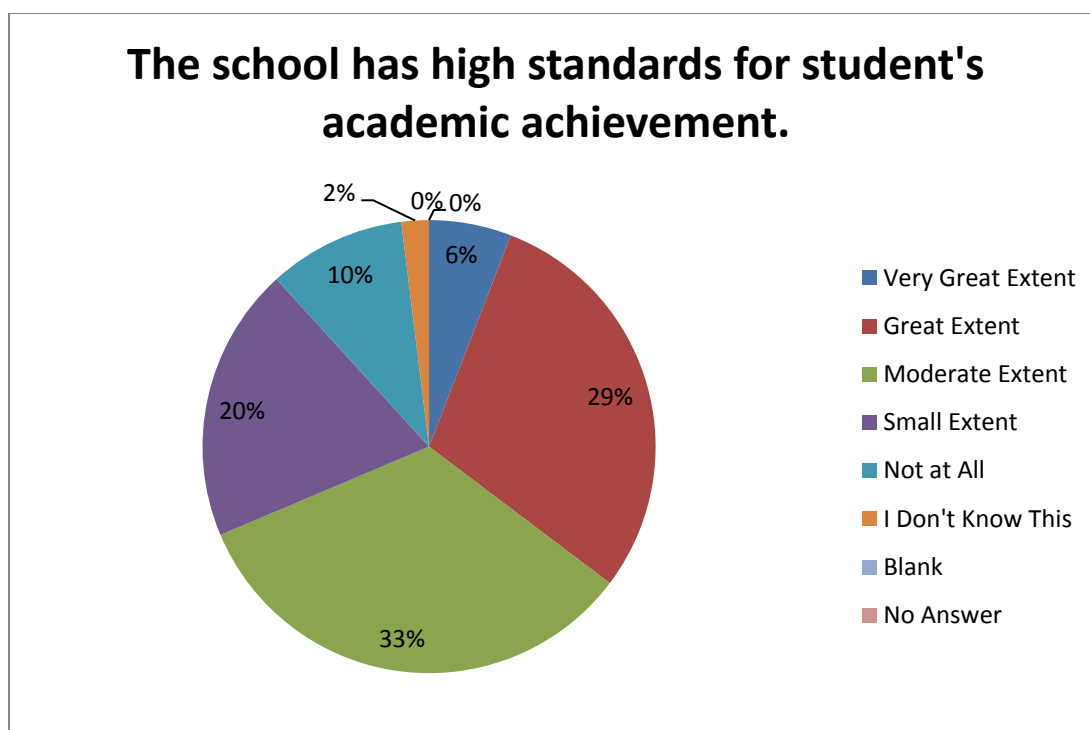
Survey Question 1: Environment



The respondents from School 1 reported 68% of secondary teachers believed their school had high standards for their students' academic achievement (Table 6.1).

Table 6.1

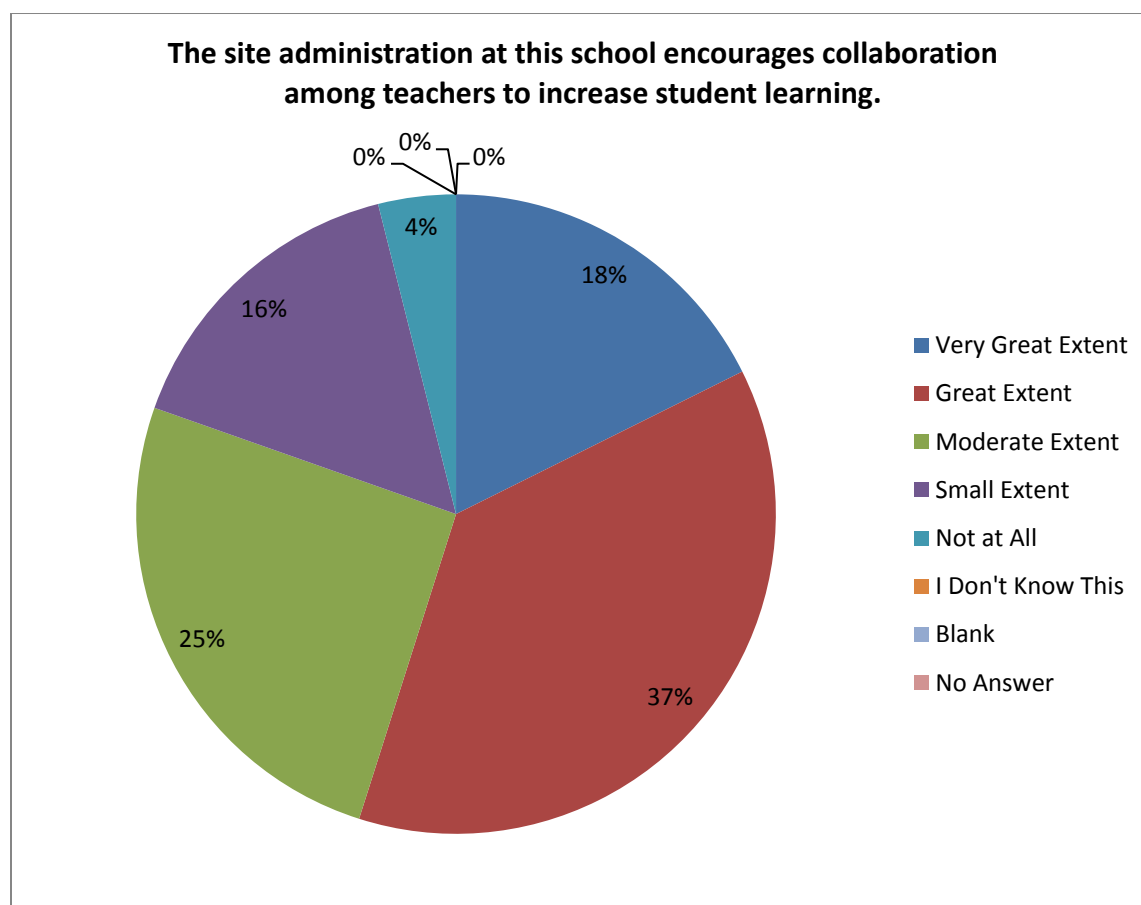
Survey Question 2: Environment



School 1 reported that 80% of secondary teachers believed their site administration encouraged collaboration amongst teachers to increase student learning (Table 6.2).

Table 6.2

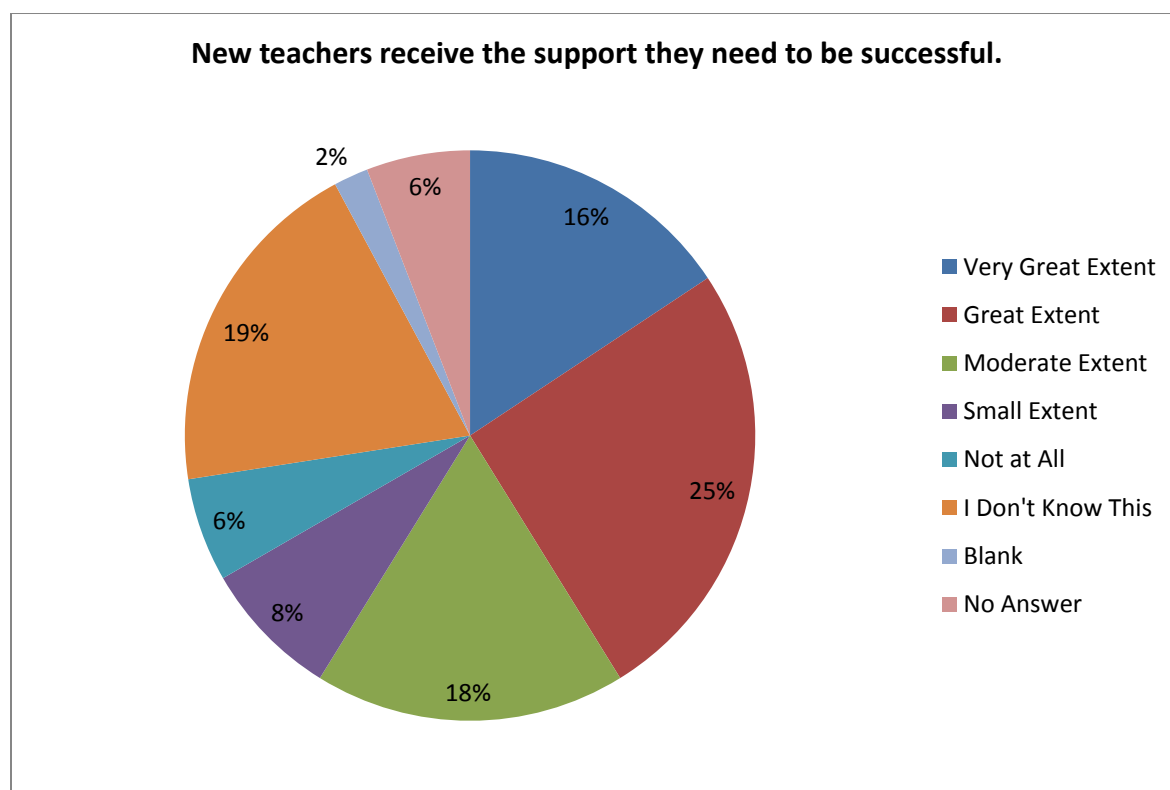
Survey Question 3: Support



School 1 reported that 59% of the respondents believed new teachers received the support they needed to be successful (Table 6.3).

Table 6.3

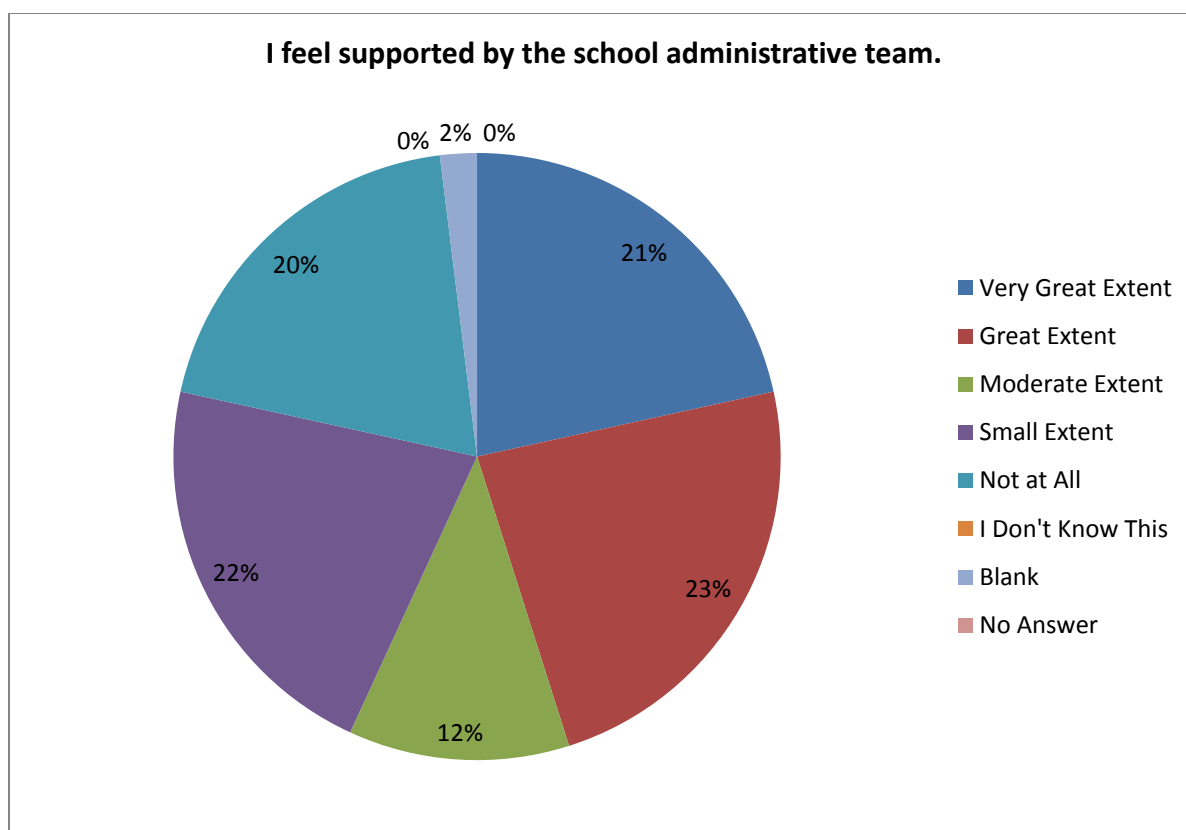
Survey Question 5: Support



The respondents from School 1 reported that 56% of the secondary teachers felt supported by their school administrative team (Table 6.4).

Table 6.4

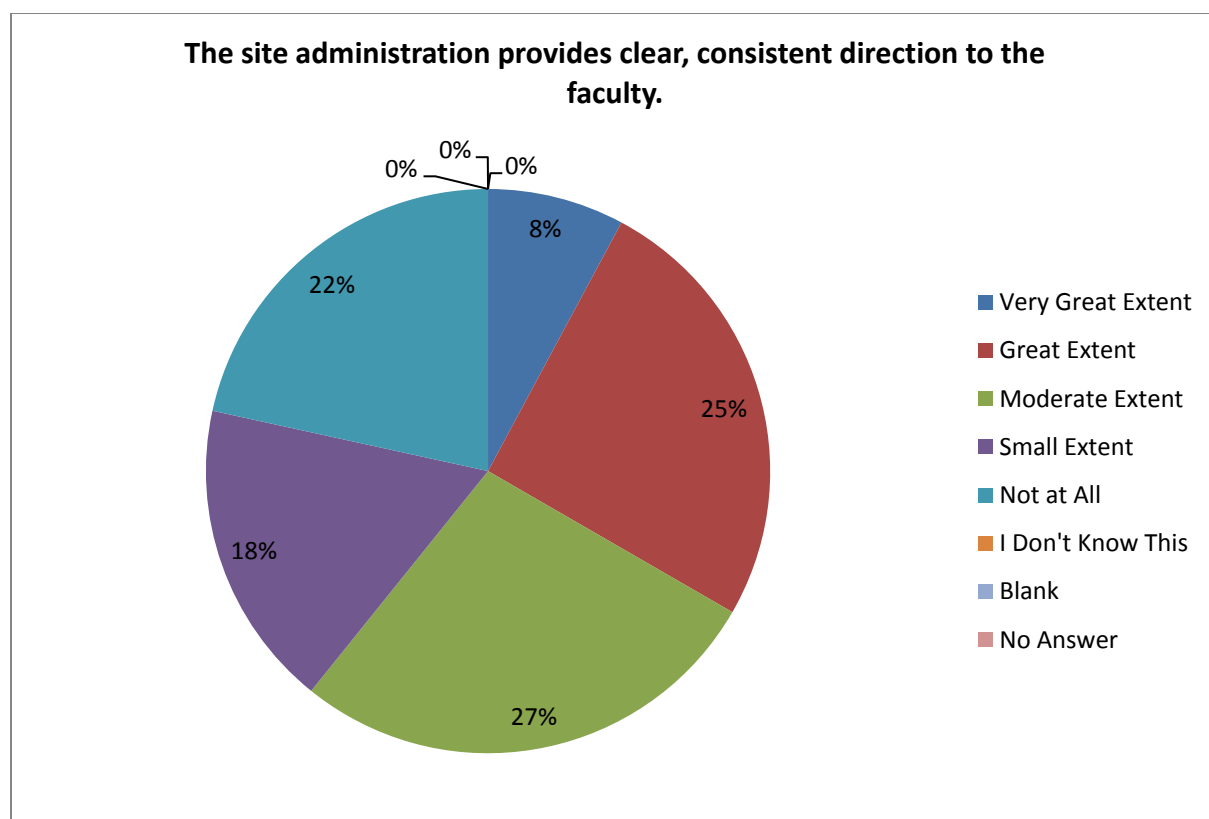
Survey Question 7: Support



School 1 respondents reported that 60% of secondary teachers found their site administration provided clear, consistent direction to the faculty.

Table 6.5

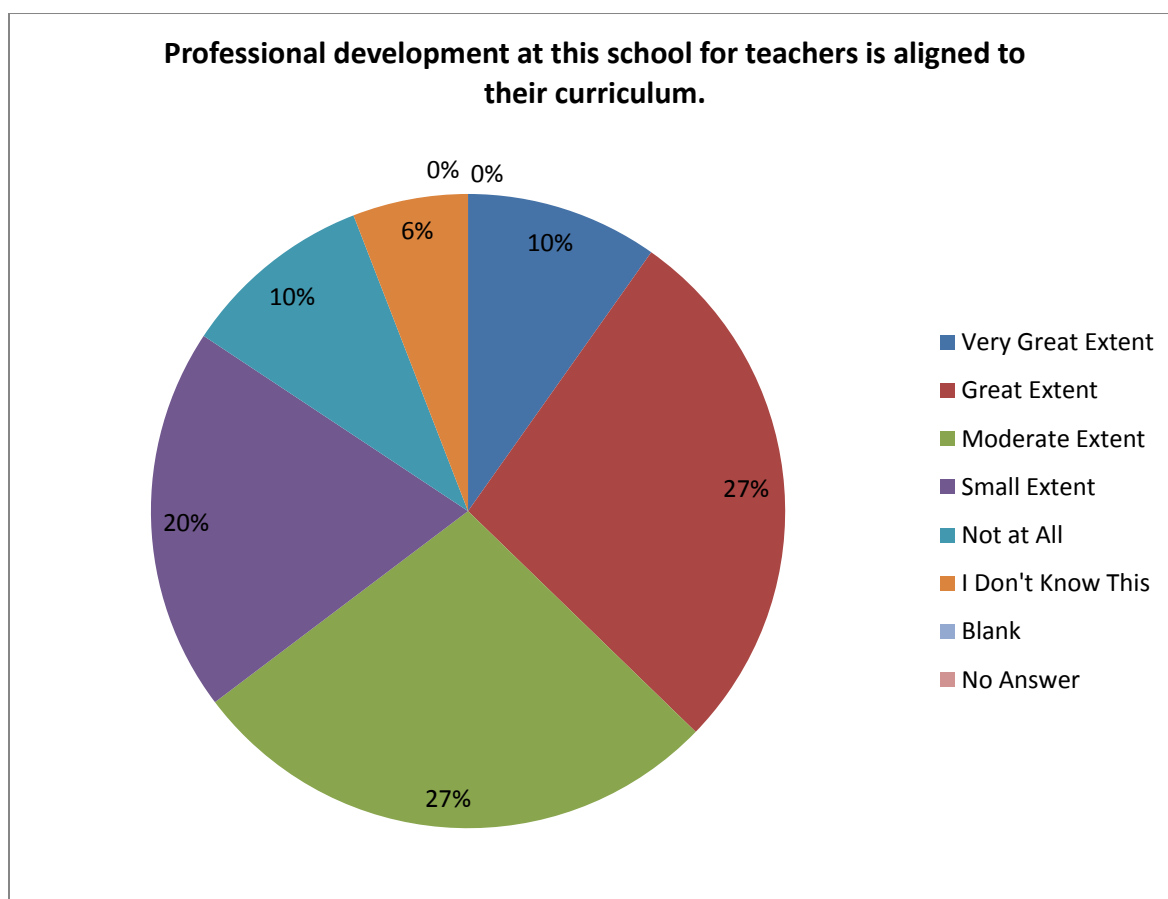
Survey Question 9: Support



Professional development at School 1 for teachers was aligned to their curriculum as reported by 64% of secondary teachers (Table 6.6).

Table 6.6

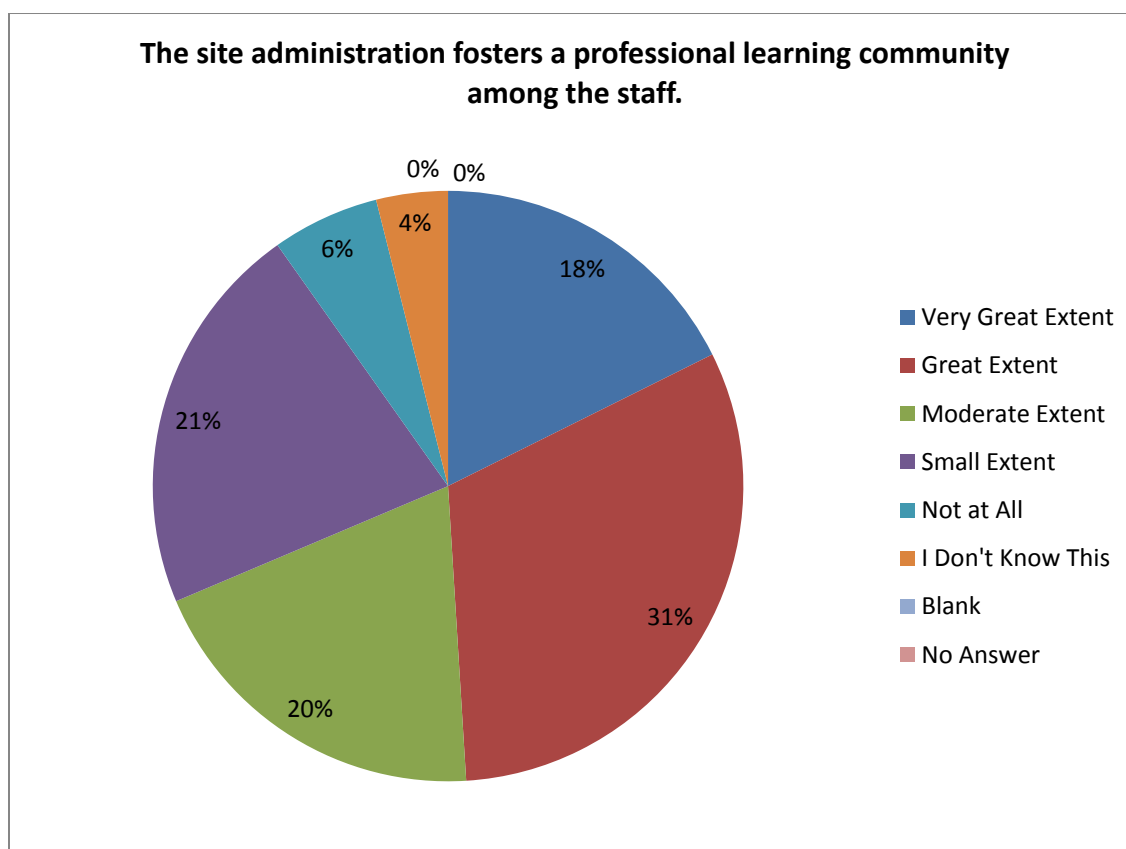
Survey Question 3: Professional Development



A total of 79% of Secondary Teachers at School 1 felt their site administration fostered a professional learning community amongst the staff (Table 6.7).

Table 6.7

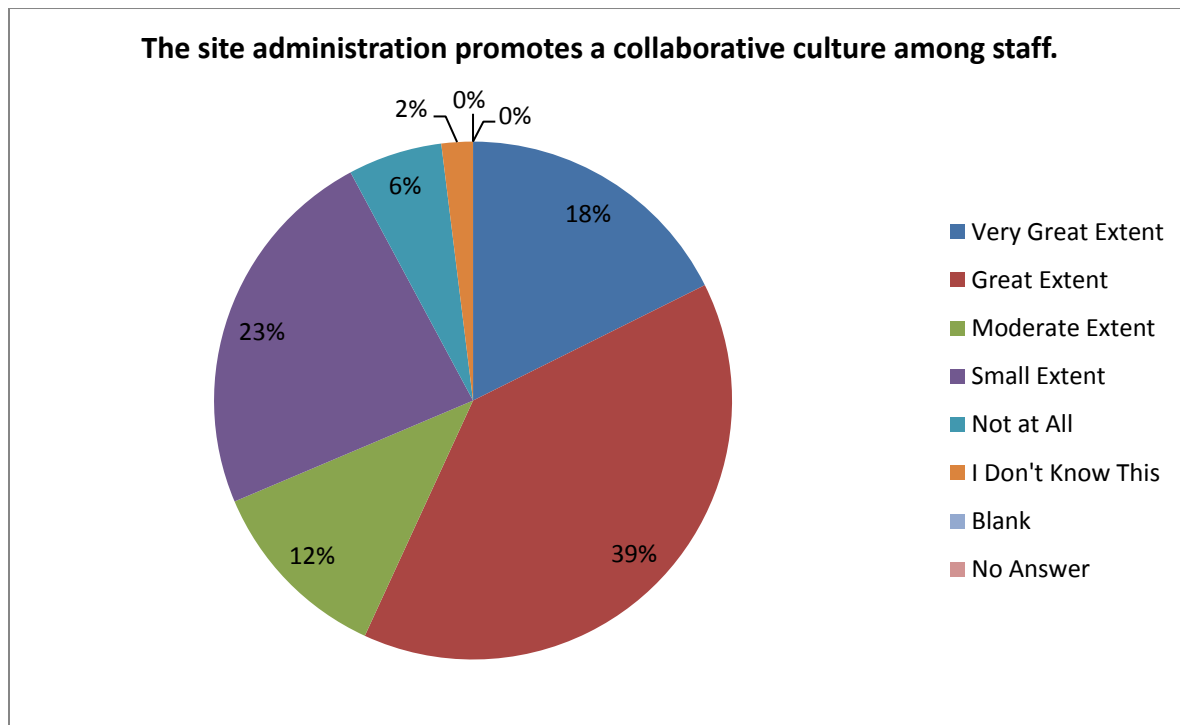
Survey Question 10: Culture



Results showed that 69% of secondary teachers at School 1 felt their site administration promoted a collaborative culture amongst staff (Table 6.8).

Table 6.8

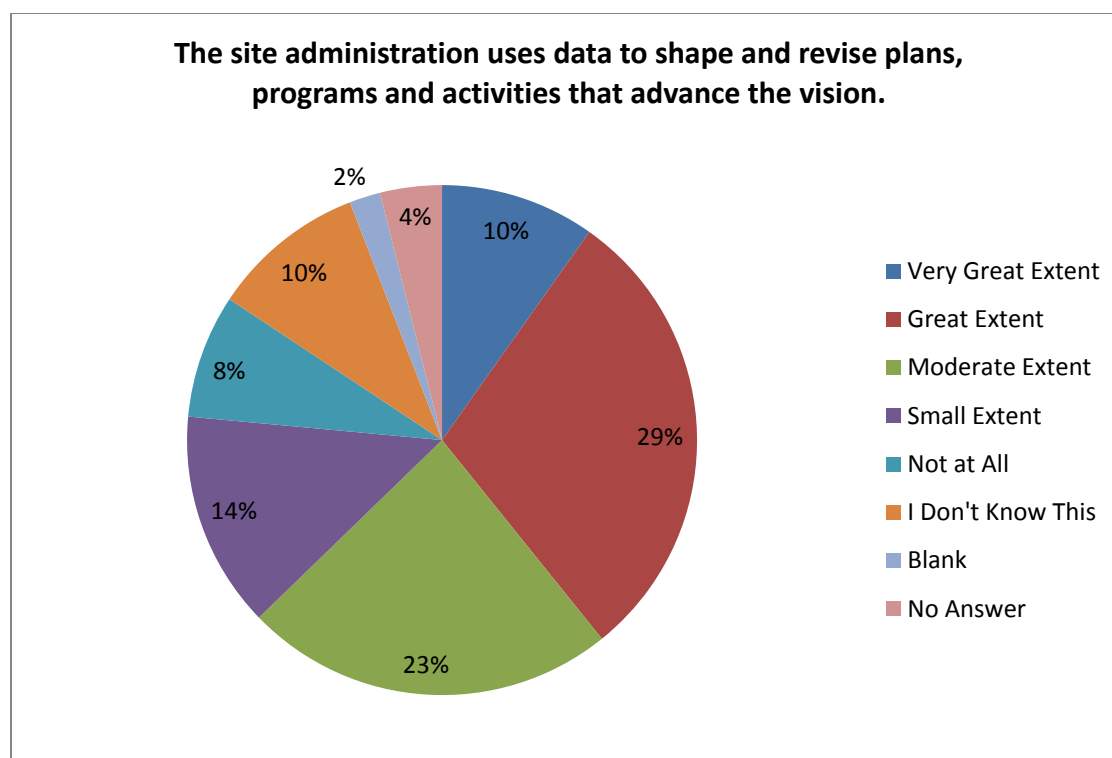
Survey Question 9: Culture



At School 1, 62% of the respondents reported their site administration used data to shape and revise plans, programs, and activities that advanced the vision (Table 6.9).

Table 6.9

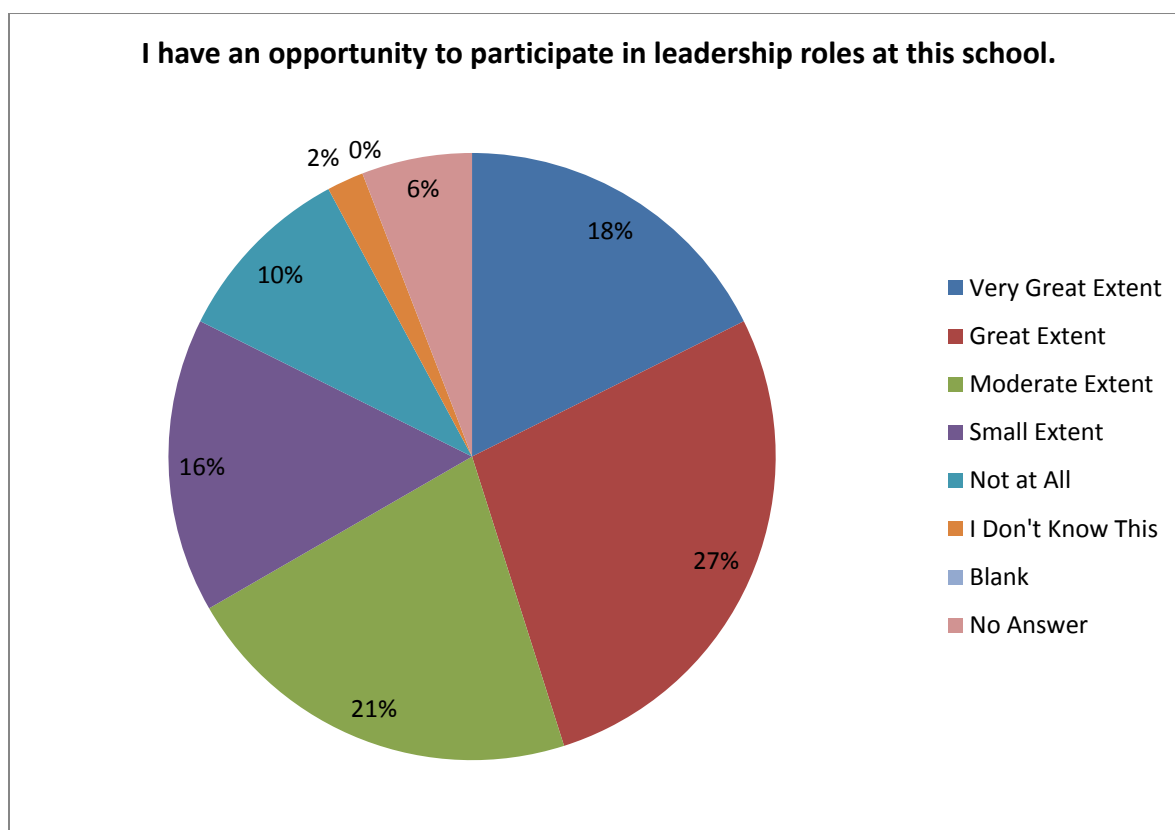
Survey Question 14: Culture



A total of 66% of the Secondary teachers at School 1 reported they had an opportunity to participate in leadership roles at their school (Table 6.10).

Table 6.10

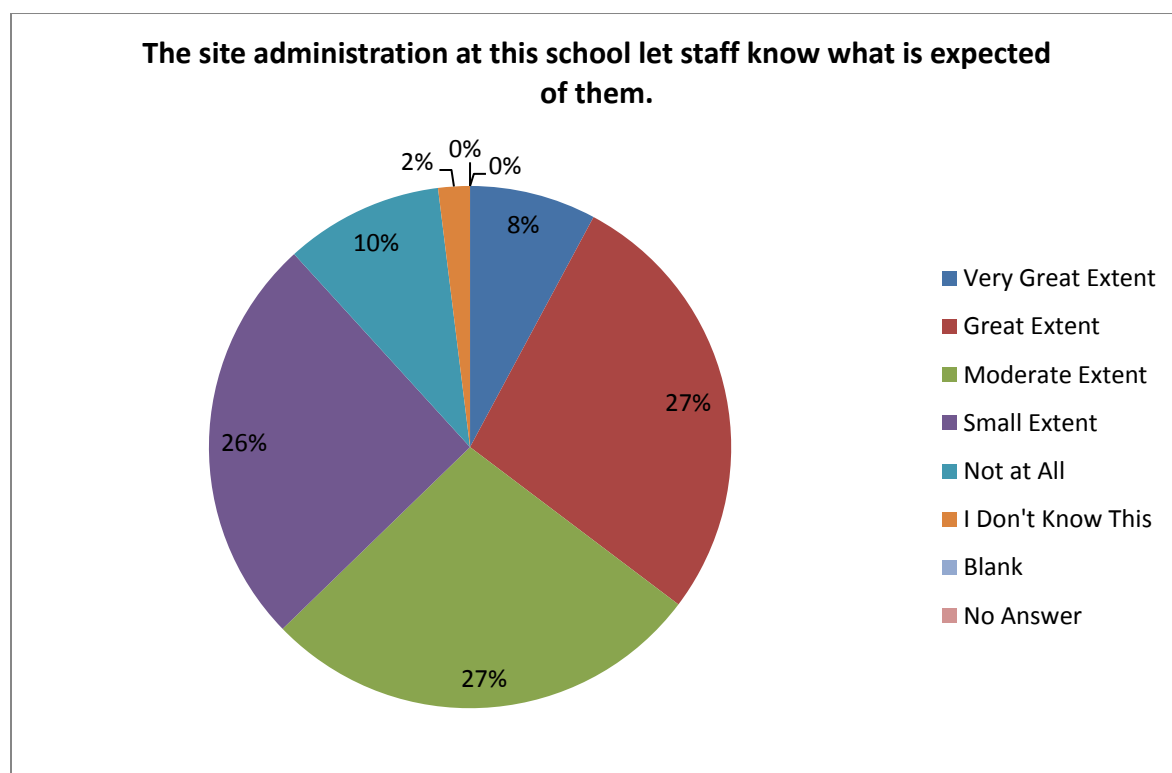
Survey Question 3: Culture



The respondents reported that 62% of secondary teachers agreed that their site administration let staff know what was expected of them (Table 6.11).

Table 6.11

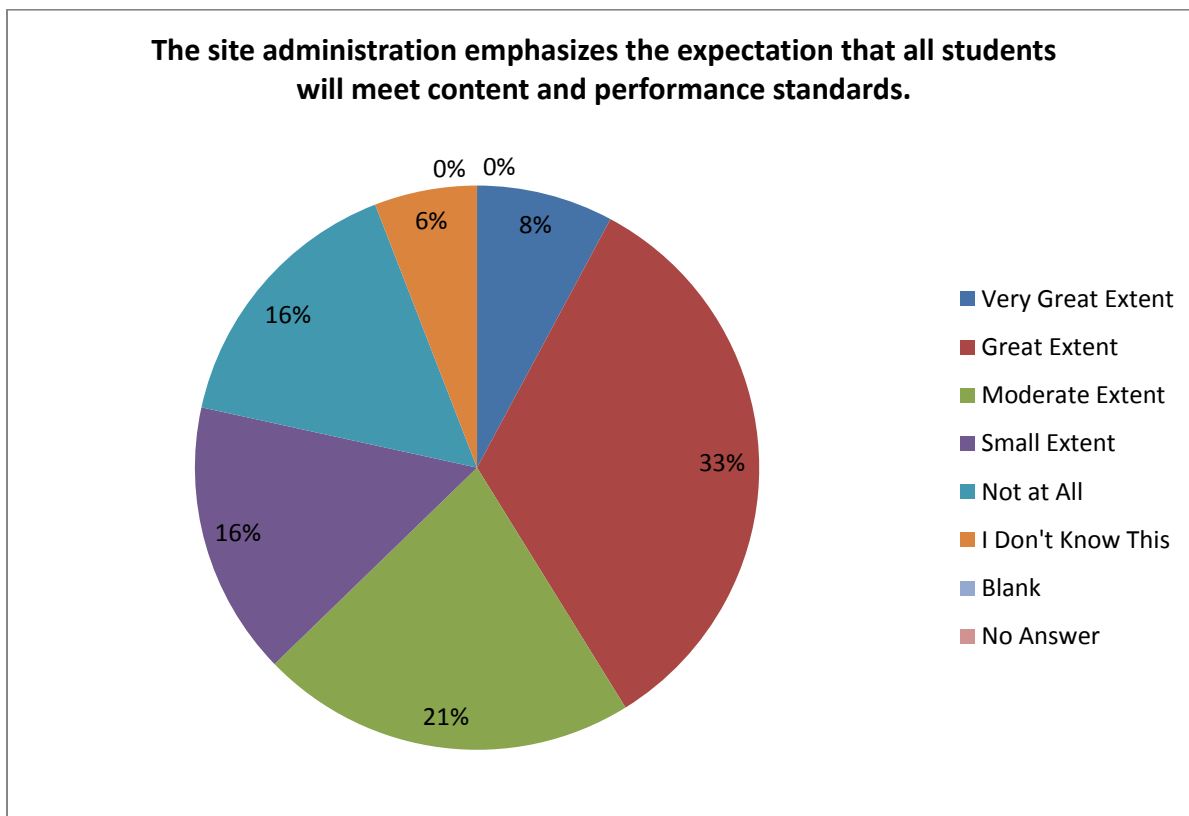
Survey Question 1: Culture



School 1 reported that their site administration emphasized the expectation that all students would meet content and performance standards with 62% agreeing with the statement (Table 6.12)

Table 6.12

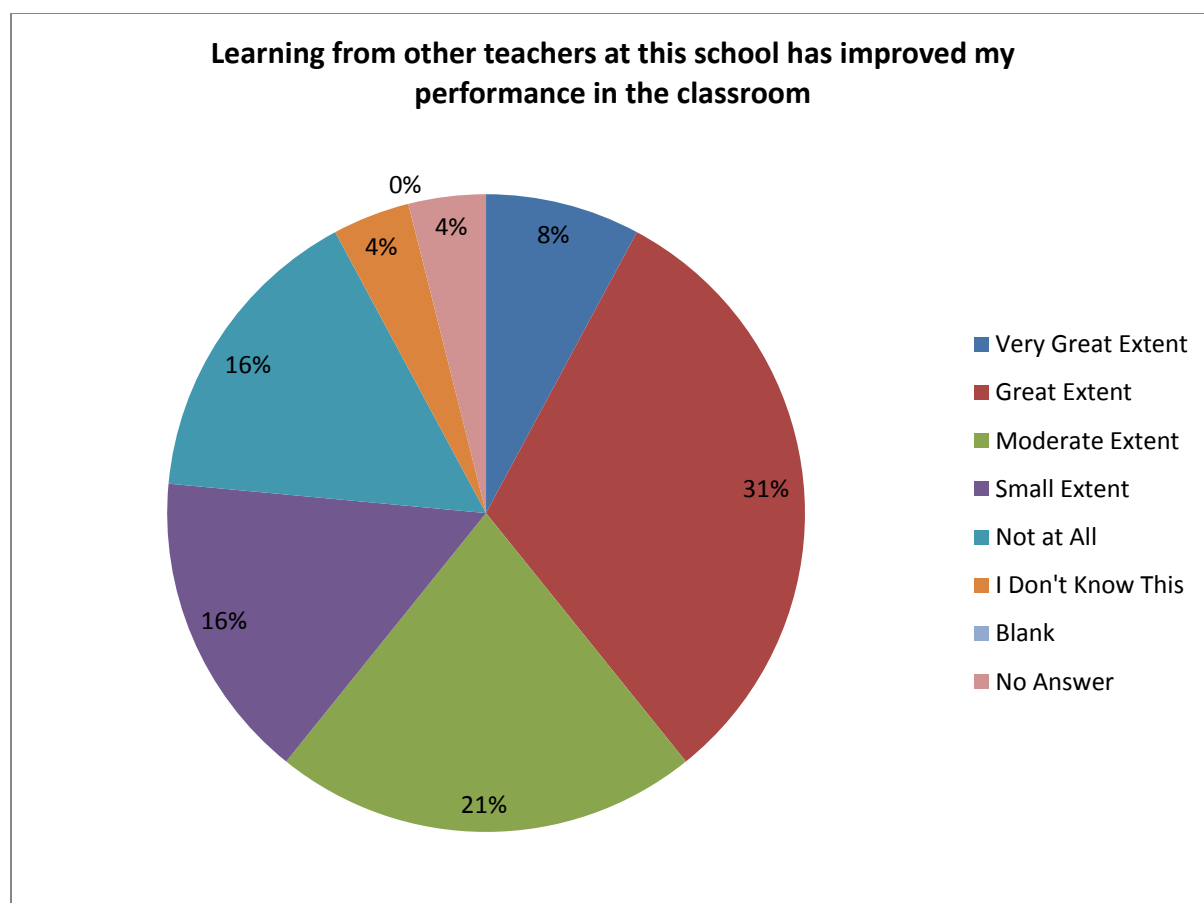
Survey Question 12: Culture



Learning from other teachers at School 1 improved secondary teachers' performance in the classroom as reported by 60% (Table 6.13).

Table 6.13

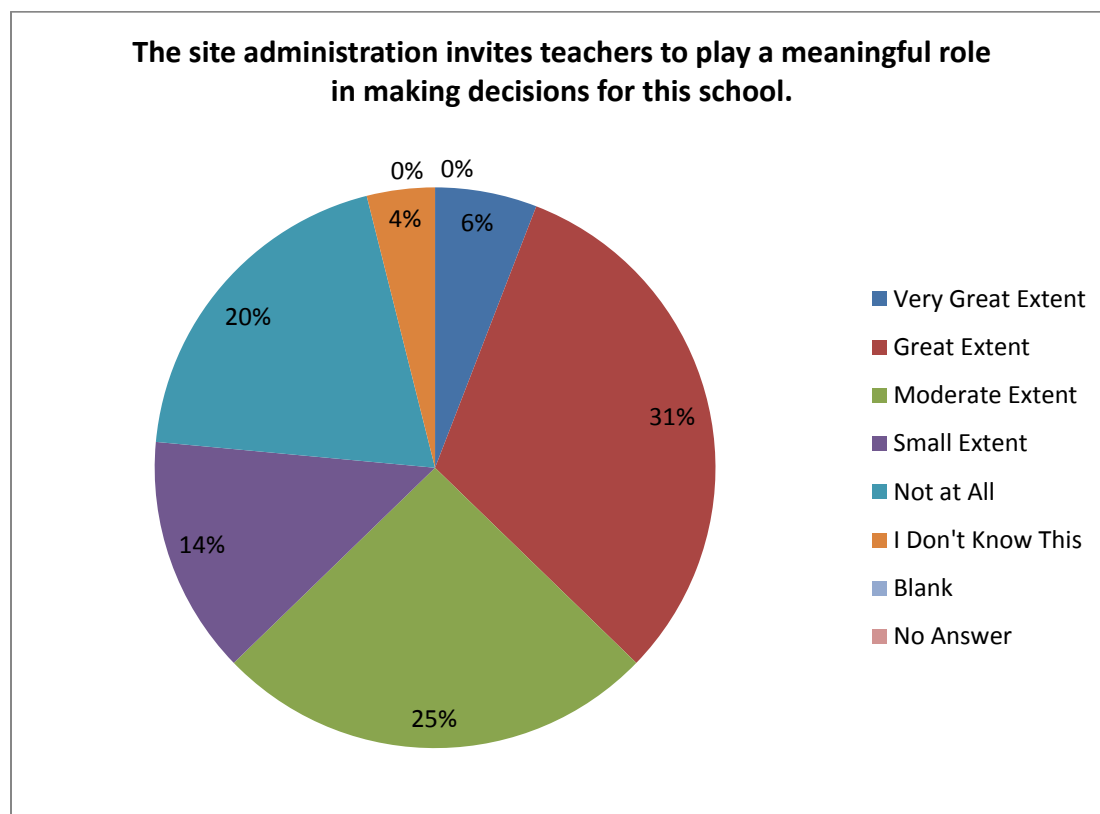
Survey Question 4: Professional Development



School 1 reported 62% of the respondents believed that their site administration invited teachers to play a meaningful role in the decision making process (Table 6.14).

Table 6.14

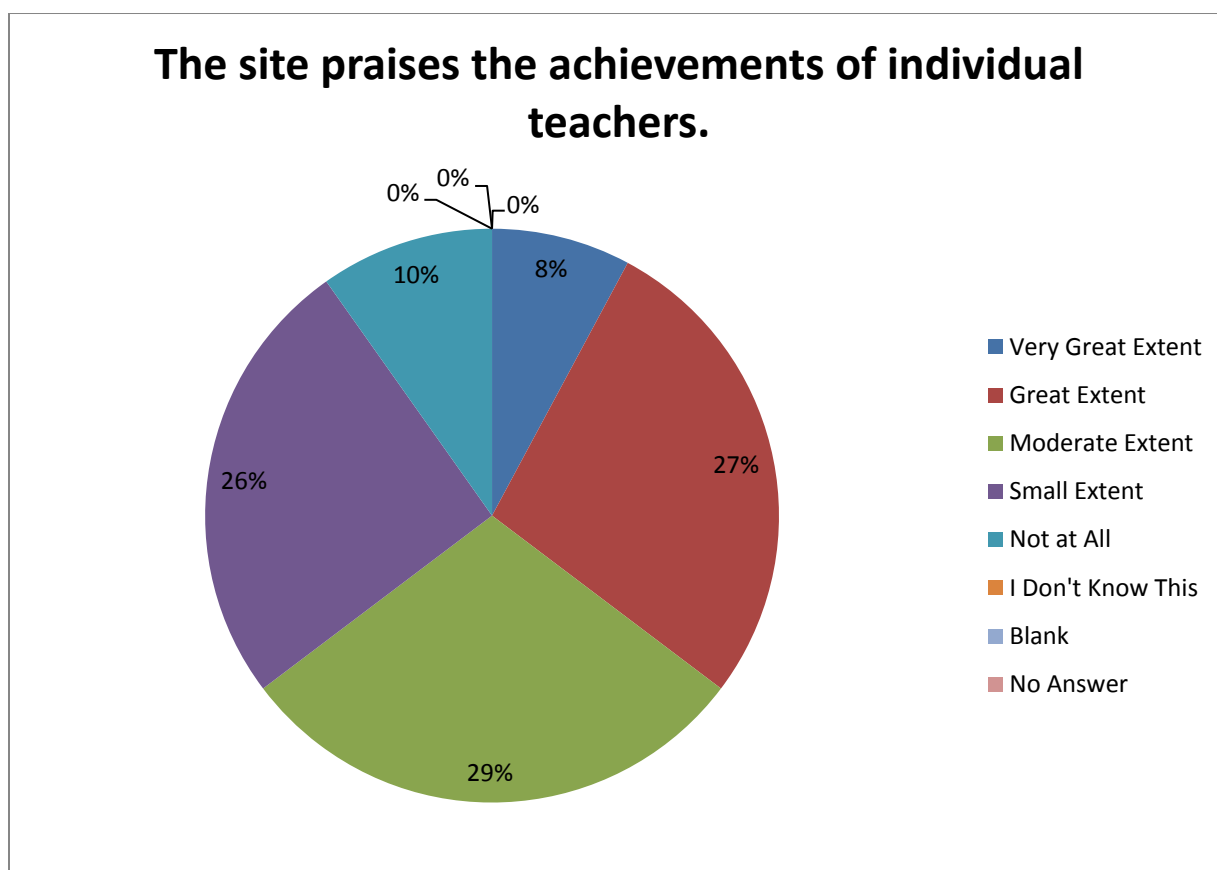
Survey Question 4: Culture



Respondents reported (Table 6.15) that 64% of secondary teachers perceived the site praised the achievements of individual teachers.

Table 6.15

Survey Question 12: Support

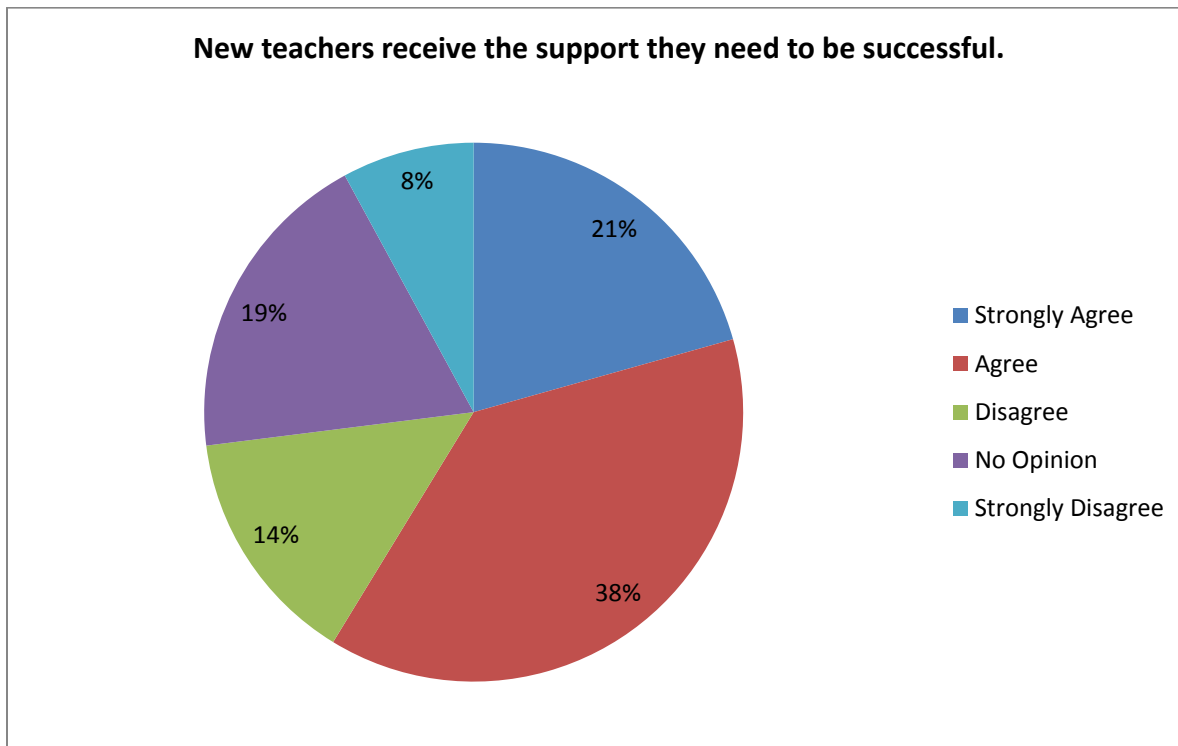


School 2 Survey Results

School 2 reported that 59% of their secondary teachers believed new teachers at their school received the support they needed to be successful (Table 7).

Table 7

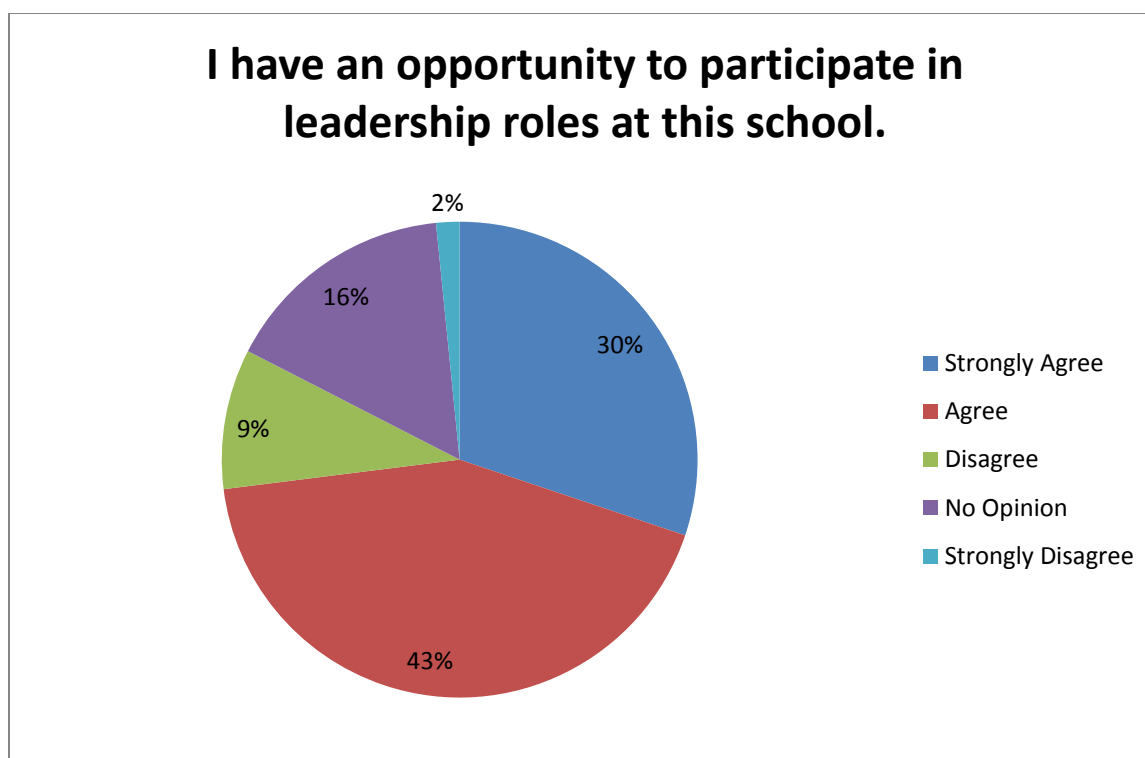
Survey Question 5: Support



A total of 73% of the respondents at School 2 reported they had an opportunity to participate in leadership roles at their school (Table 7.1).

Table 7.1

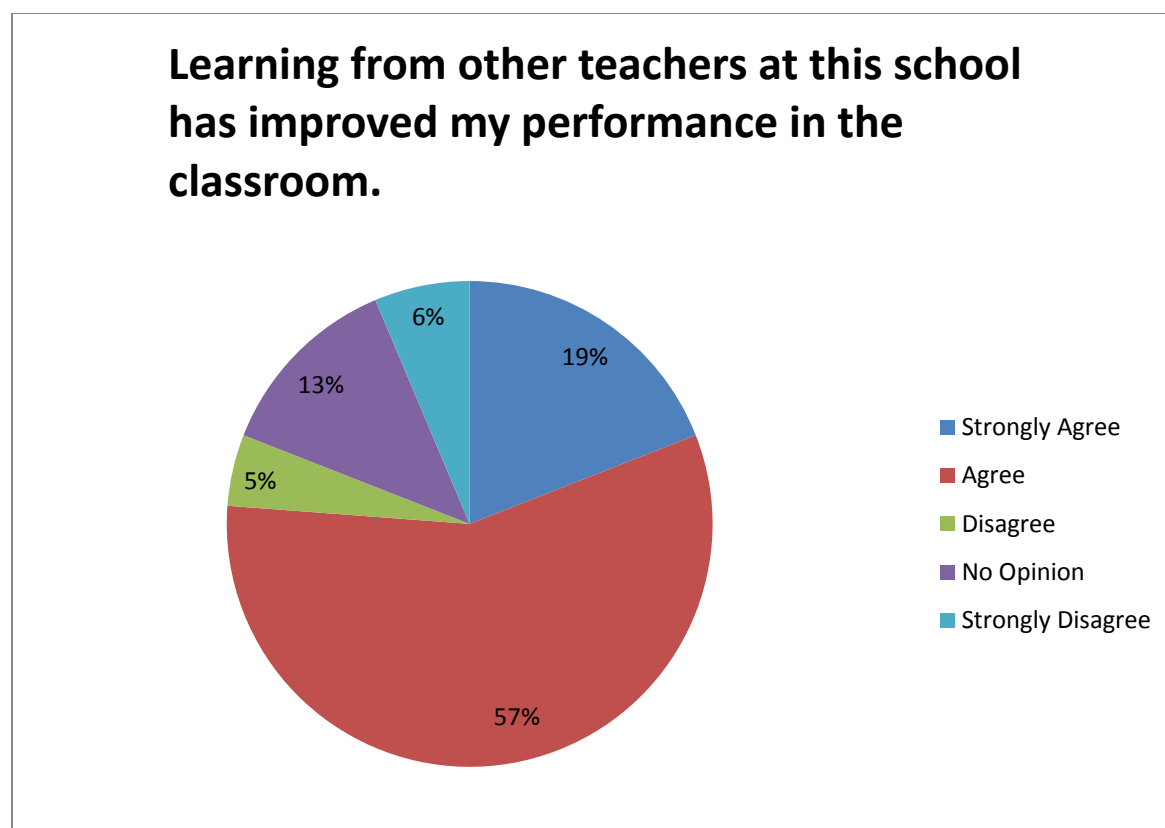
Survey Question 3: Culture



Learning from other teachers at School 2 improved secondary teachers' performance in the classroom as reported by 76% (Table 7.2).

Table 7.2

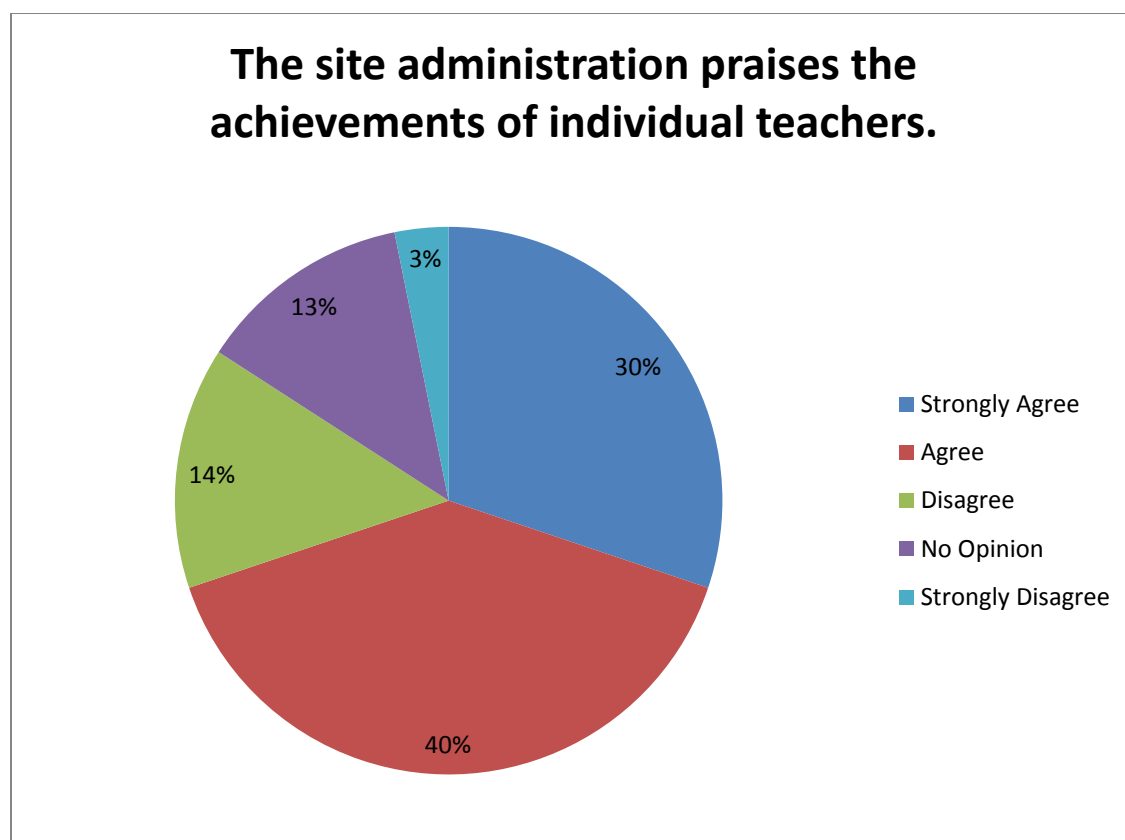
Survey Question 4: Professional Development



Respondents reported (Table 7.3) that 70% of secondary teachers perceived that site administration praised the achievements of individual teachers.

Table 7.3

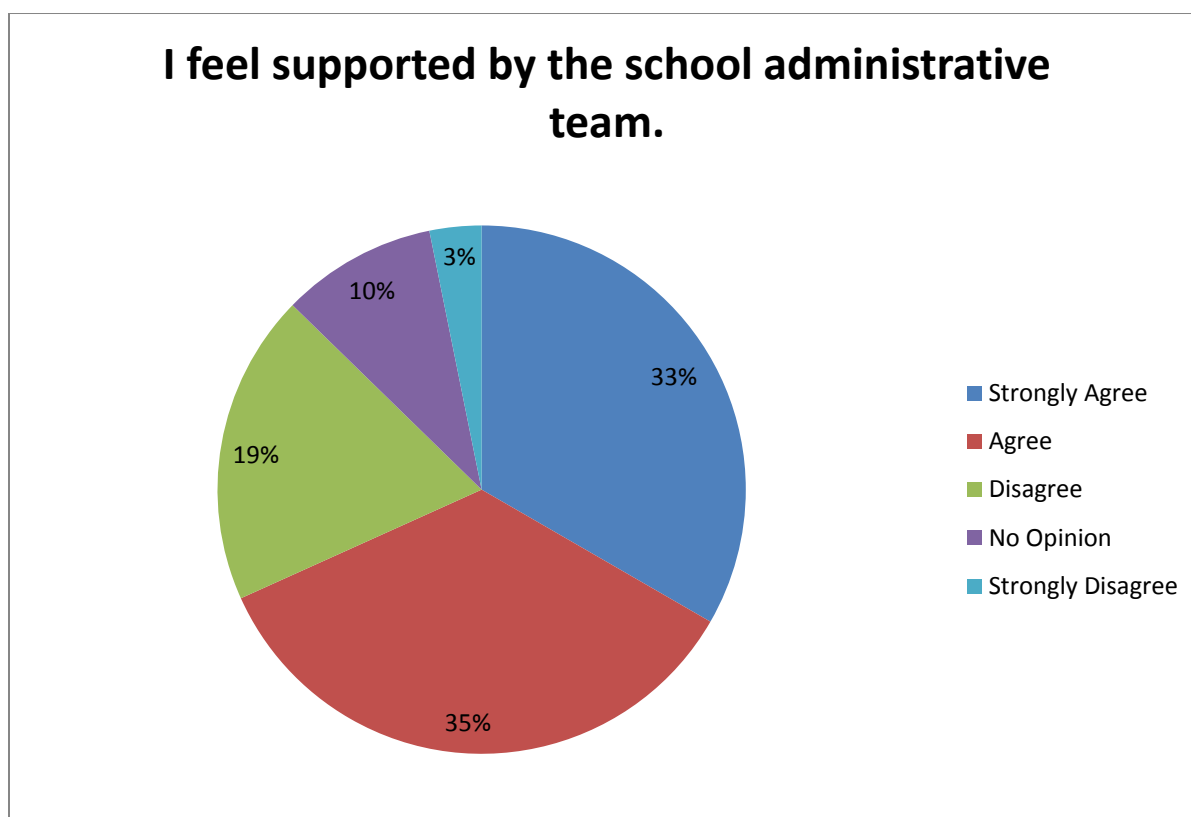
Survey Question 12: Support



The respondents from School 2 reported 68% felt supported by the school administrative team (Table 7.4).

Table 7.4

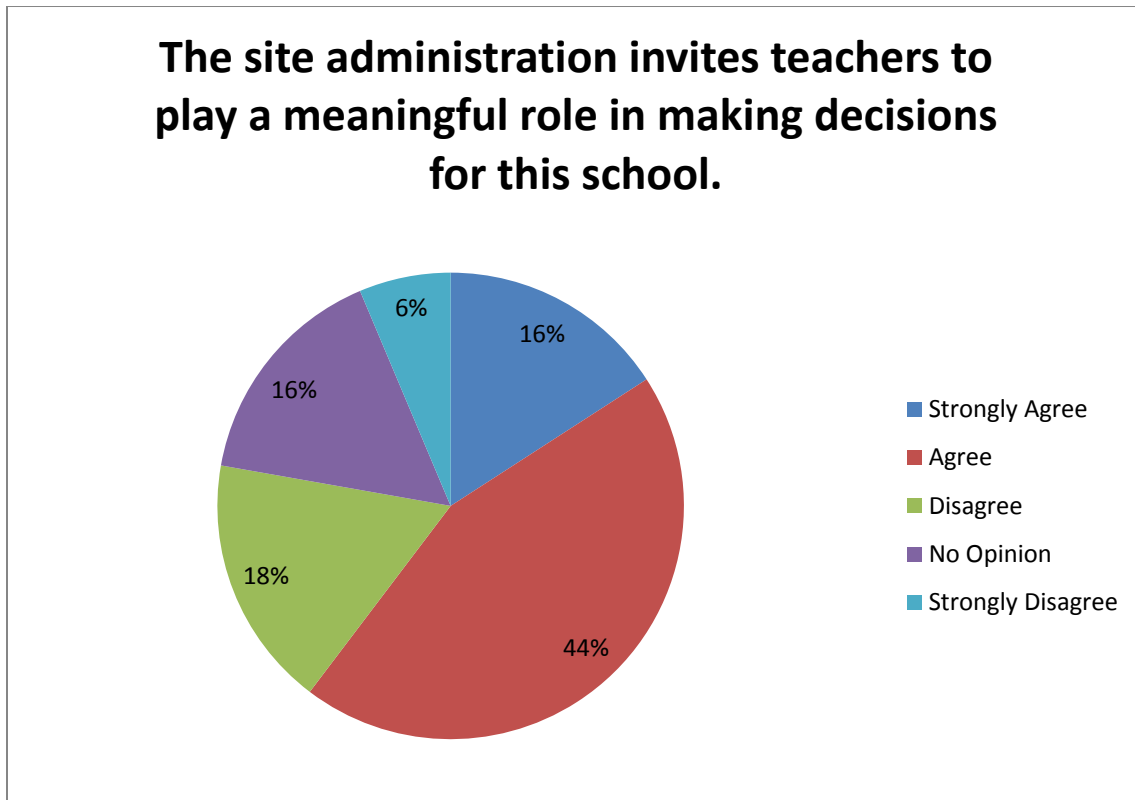
Survey Question 7: Support



A total of 60% of the respondents from School 2 reported that site administration invited teachers to play a meaningful role in making decision for their school (Table 7.5).

Table 7.5

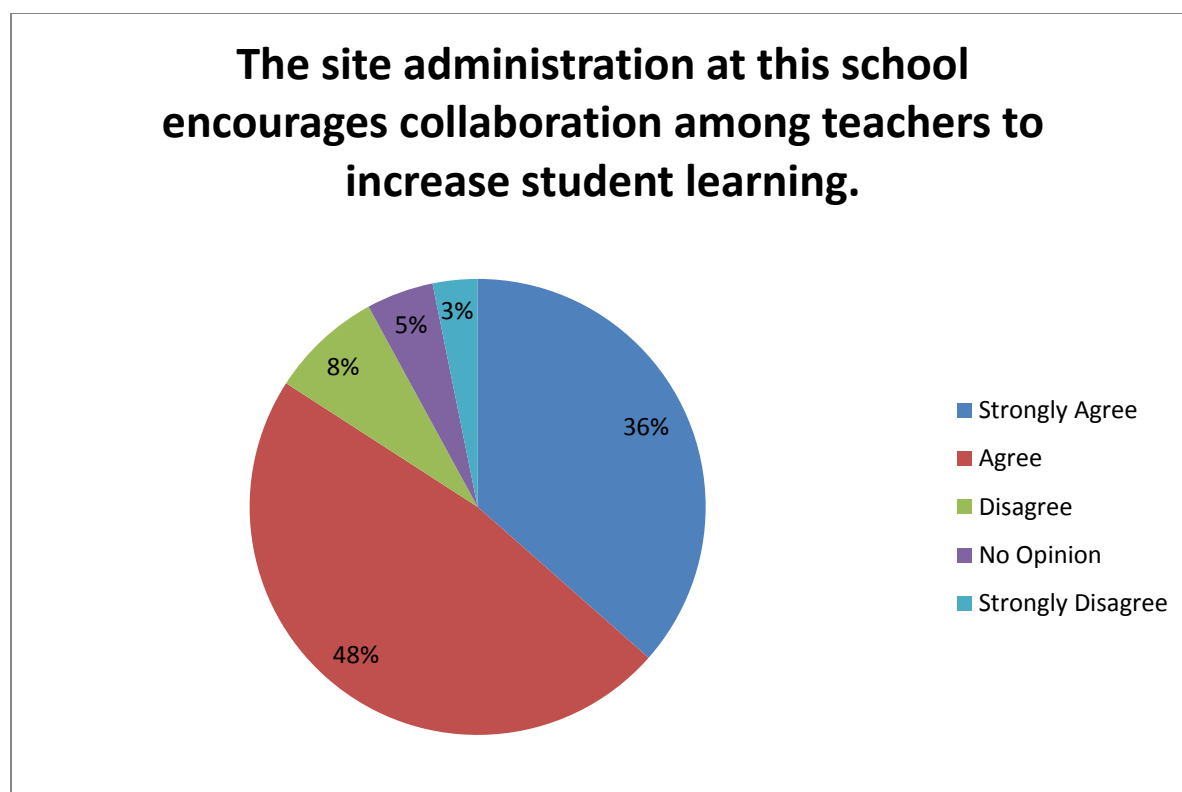
Survey Question 4: Culture



School 2 secondary teachers reported that 84% believed that their site administration encouraged collaboration amongst teachers to increase student learning (Table 7.6).

Table 7.6

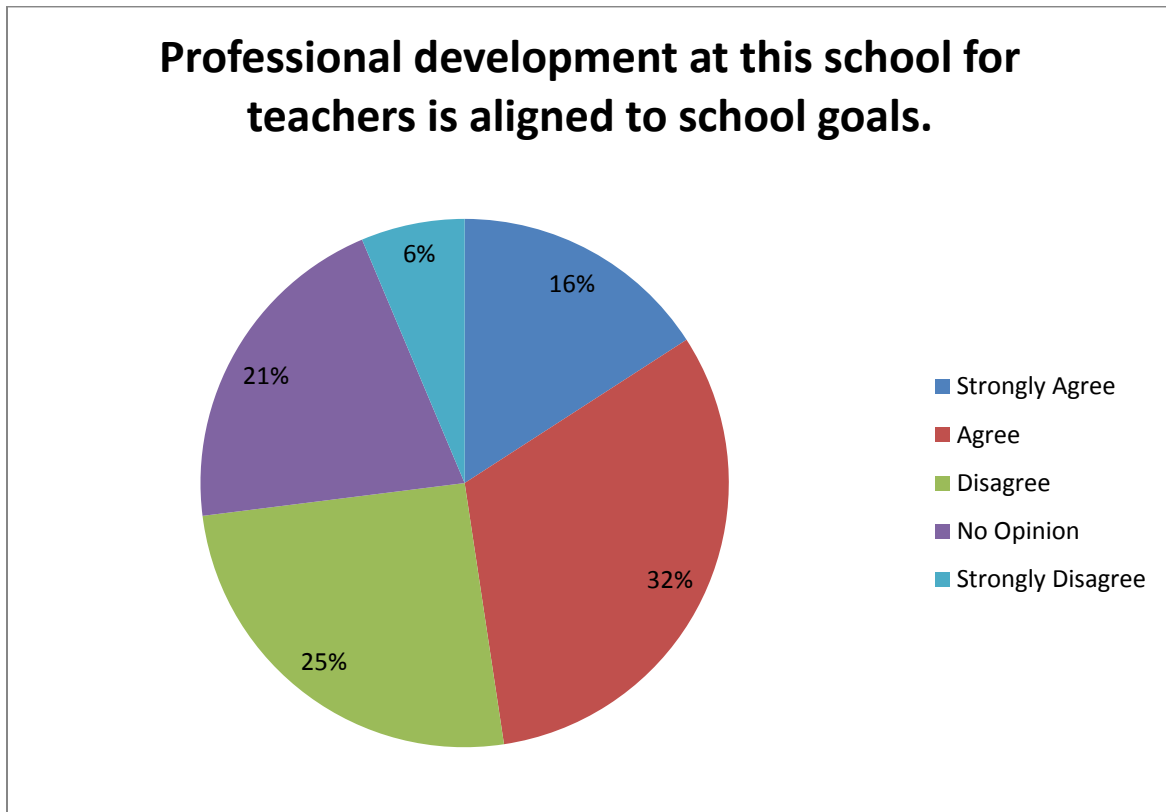
Survey Question 3: Support



Professional development at School 2 (Table 7.7) for teachers was aligned to their curriculum as reported by 48% of the respondents, whereas 31% of respondents disagreed.

Table 7.7

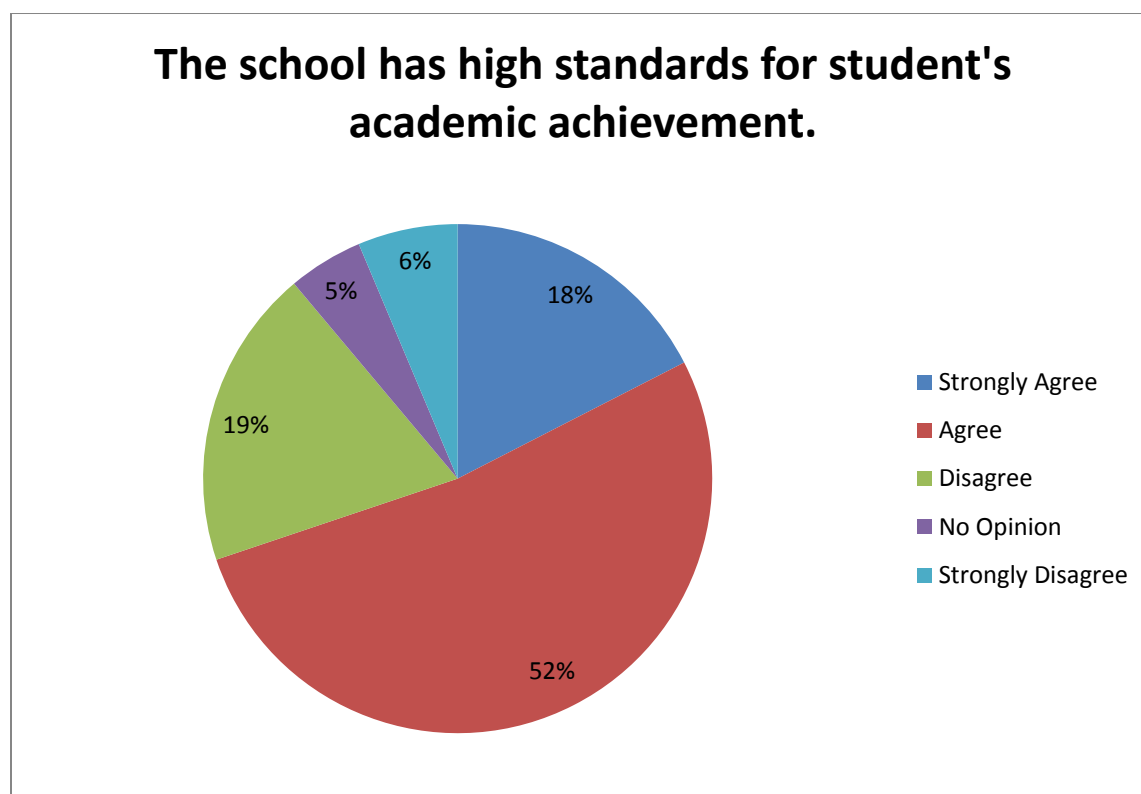
Survey Question 3: Professional Development



The respondents from School 2 reported that 70% agree that their school had high standards for students' academic achievement (Table 7.8).

Table 7.8

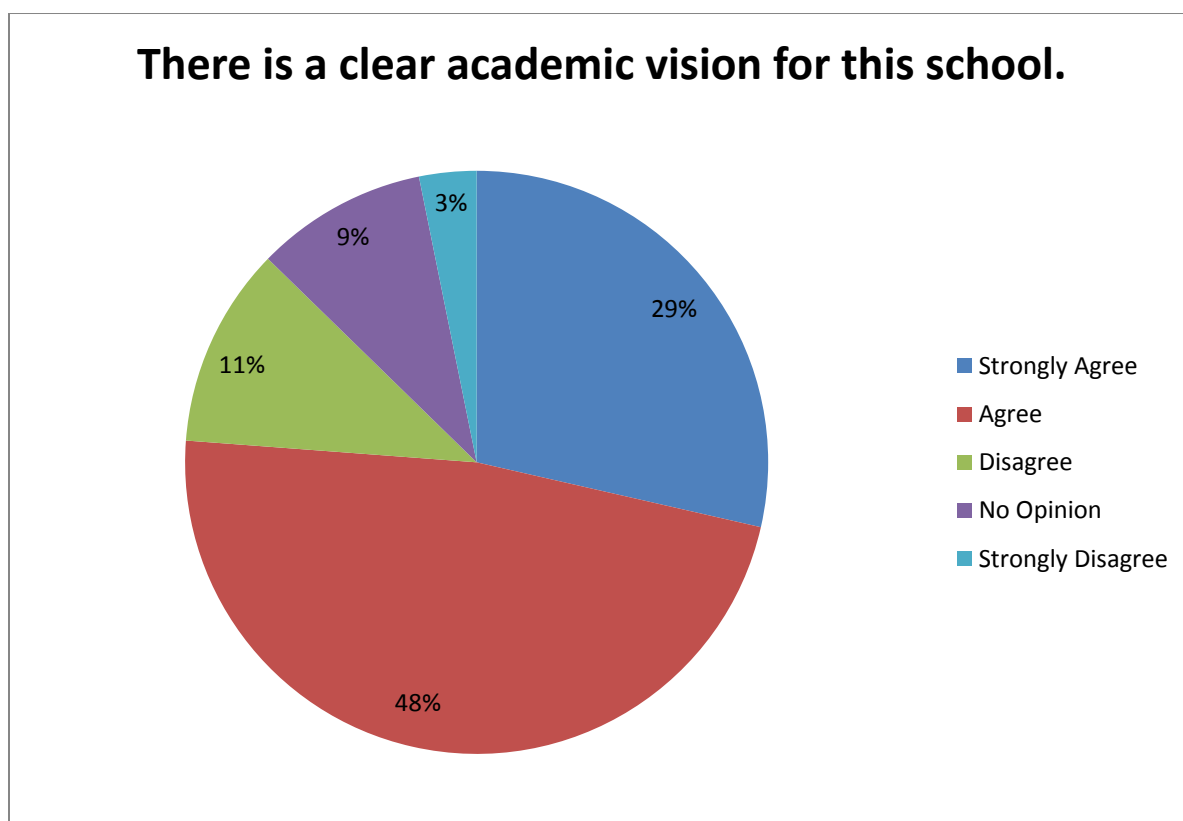
Survey Question 2: Environment



A total of 77% of the respondents agree that there is a clear academic vision for their school (Table 7.9).

Table 7.9

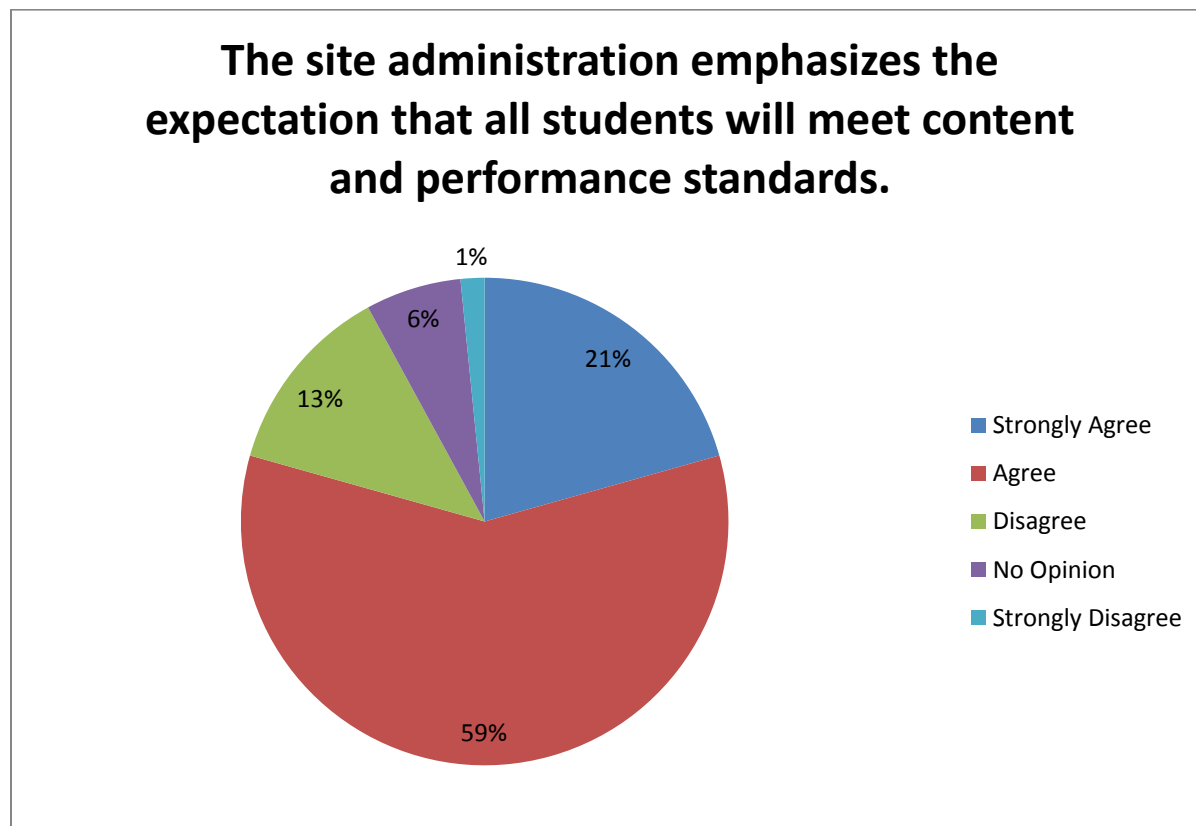
Survey Question 1: Environment



School 2 reported (Table 7.10) their site administration emphasized the expectation that all students would meet content and performance standards with 80% agreeing and only 13% disagreeing.

Table 7.10

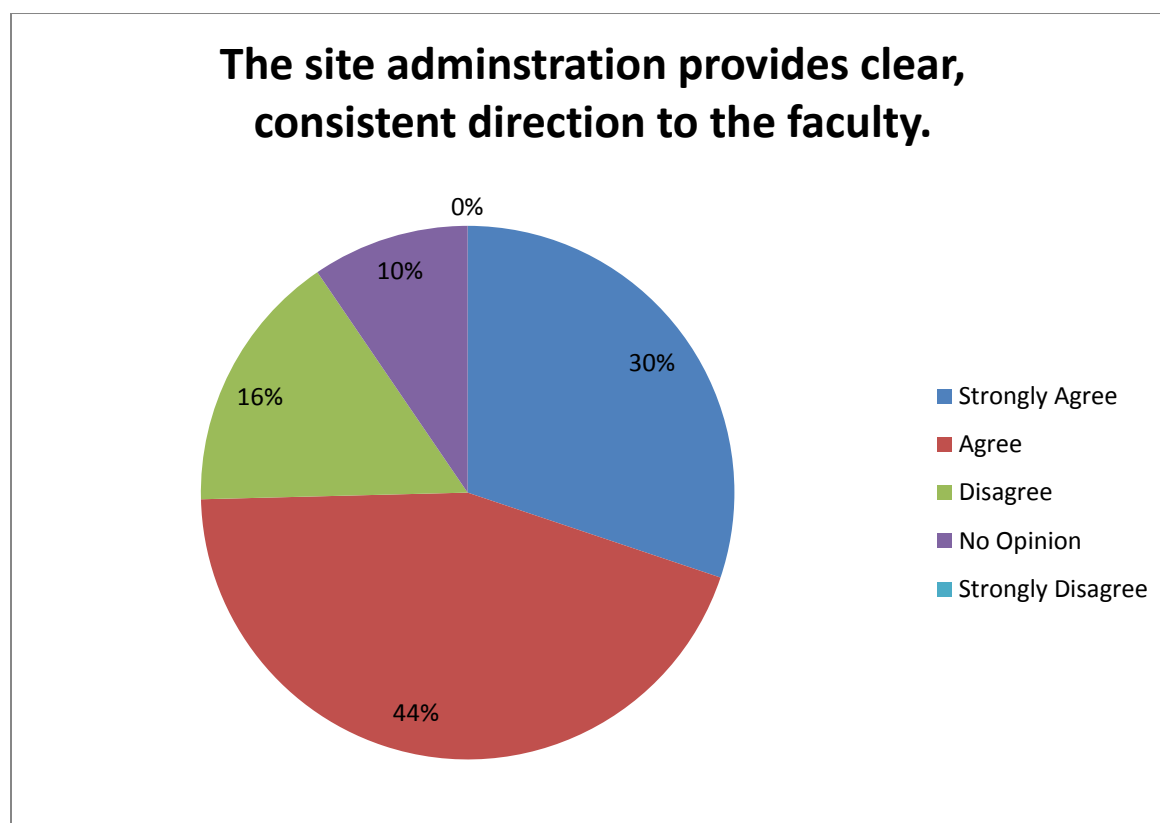
Survey Question 12: Culture



Respondents from School 2 reported that 74% believed their site administration provided clear, consistent direction to the faculty (Table 7.11).

Table 7.11

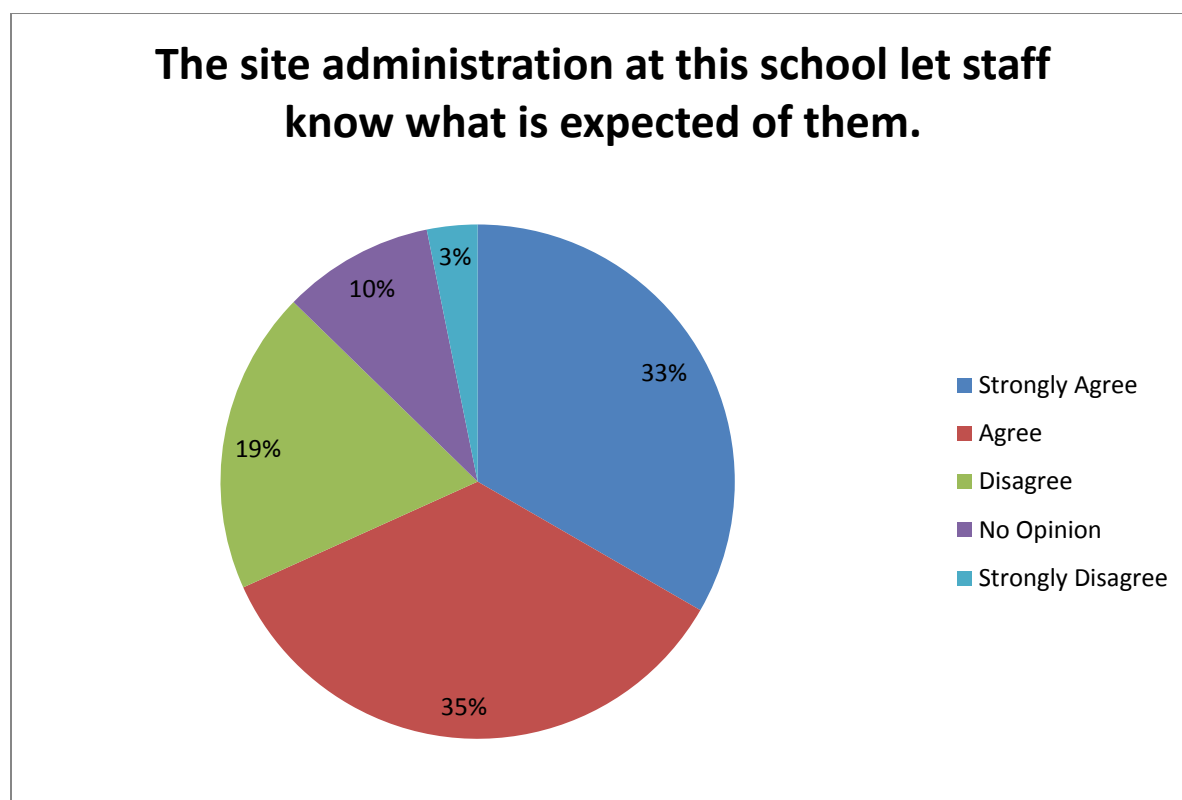
Survey Question 9: Support



The results (Table 7.12) showed that 68% of the secondary teachers agreed their site administration let staff know what was expected of them.

Table 7.12

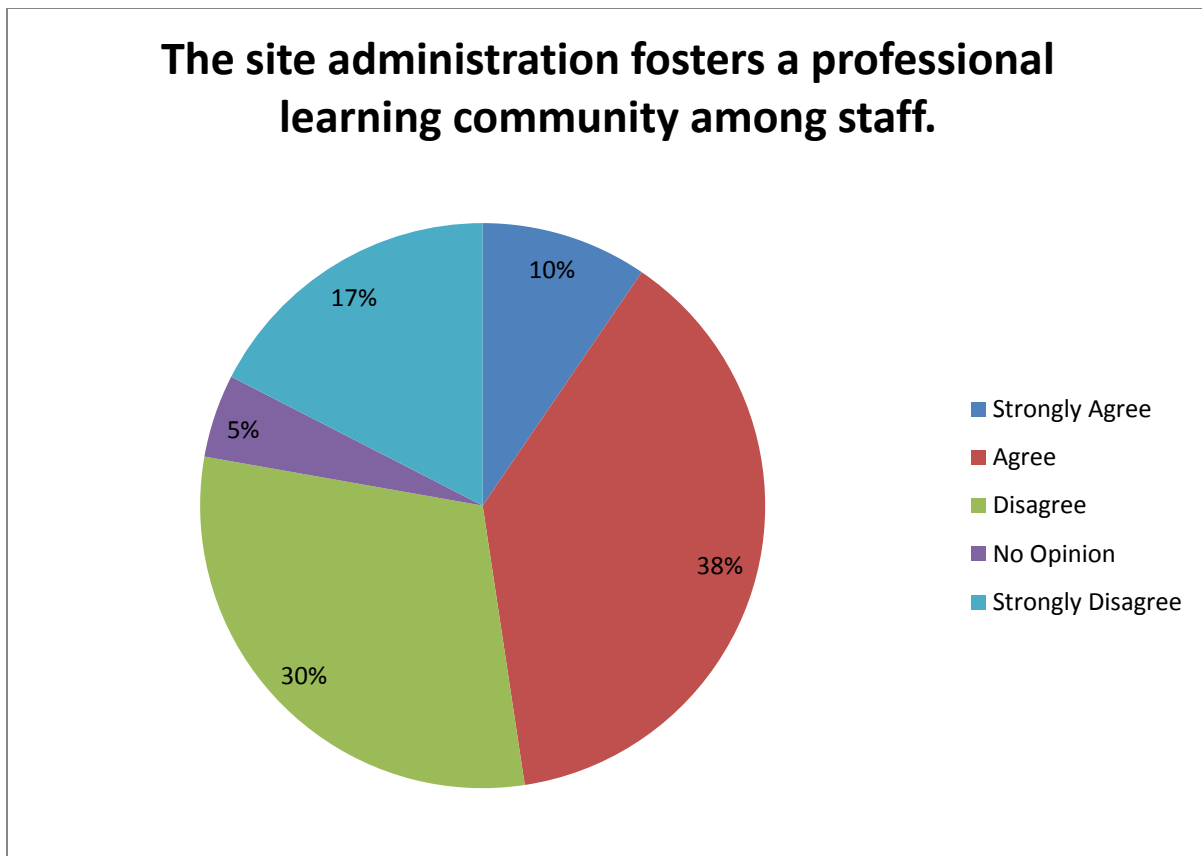
Survey Question 1: Culture



It was found at School 2 that the site administration fostered a professional learning community amongst staff by the 68% of secondary teachers that agreed (Table 7.13).

Table 7.13

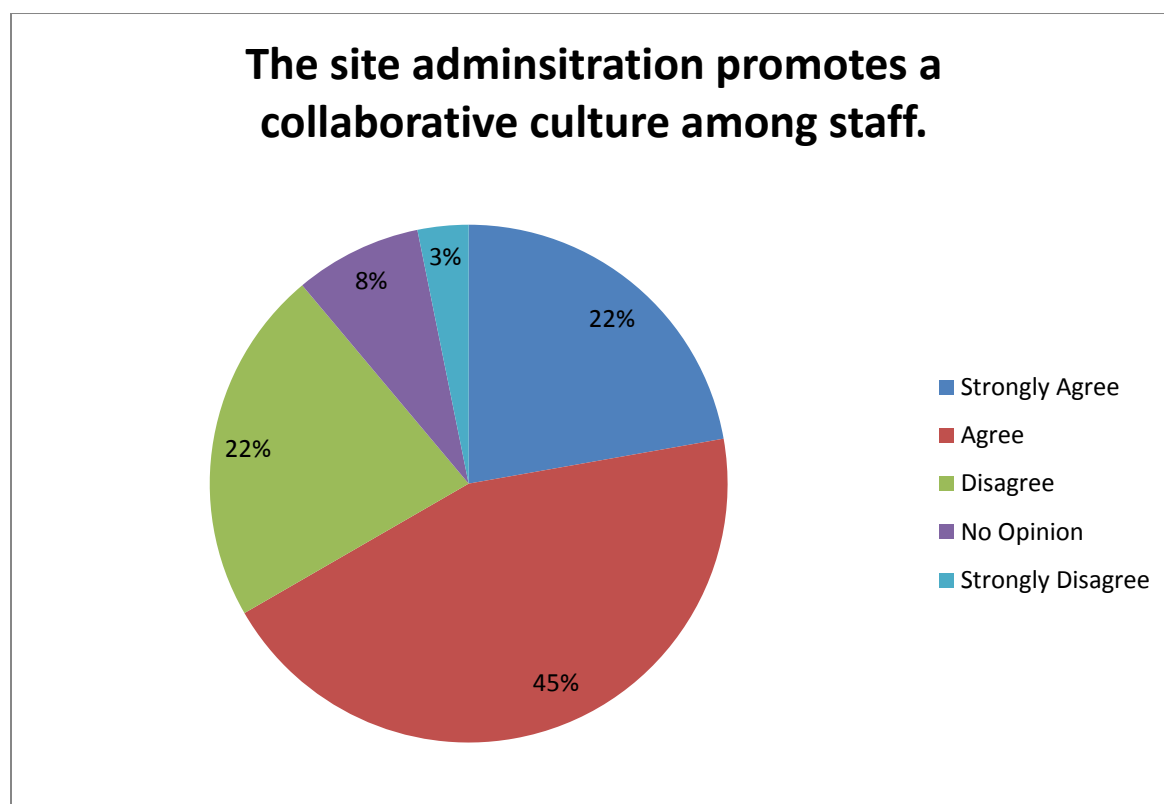
Survey Question 10: Culture



Results showed that 67% of the secondary teachers at School 2 reported their site administration promoted a collaborative culture amongst staff (Table 7.14).

Table 7.14

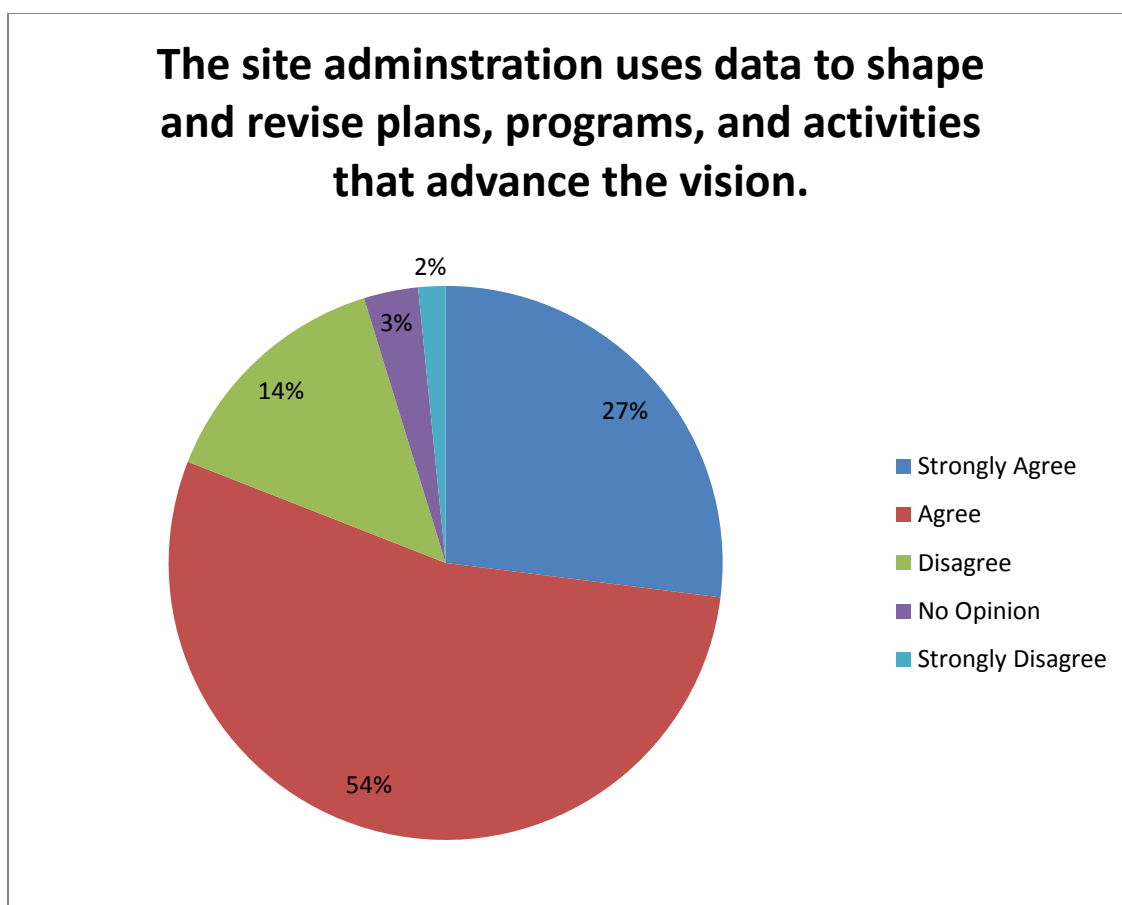
Survey Question 9: Culture



At School 2, 81% of the respondents reported their site administration used data to shape and revise plans, programs, and activities that advanced the vision (Table 7.15).

Table 7.15

Survey Question 14: Culture

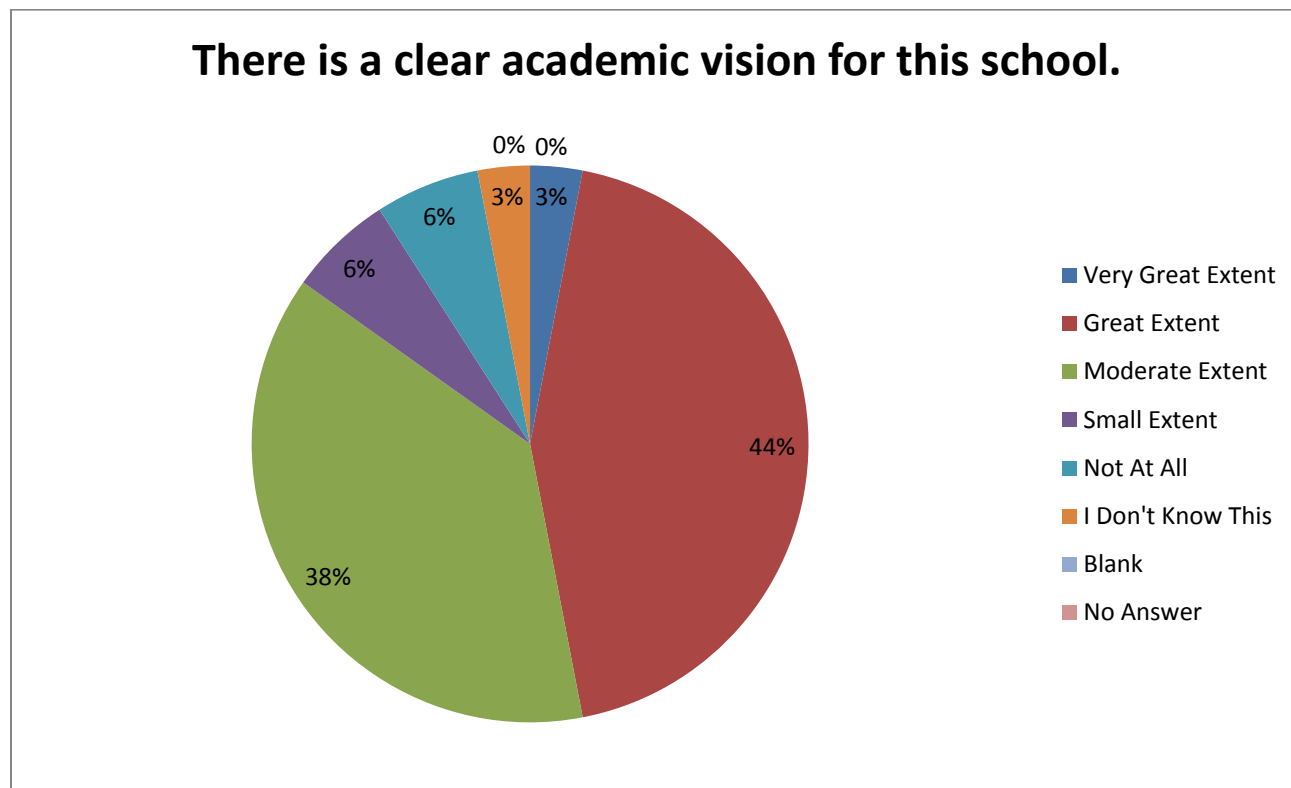


School 3 Survey Data

The respondents from School 3 reported 85% believed there was a clear academic vision for their school (Table 8).

Table 8

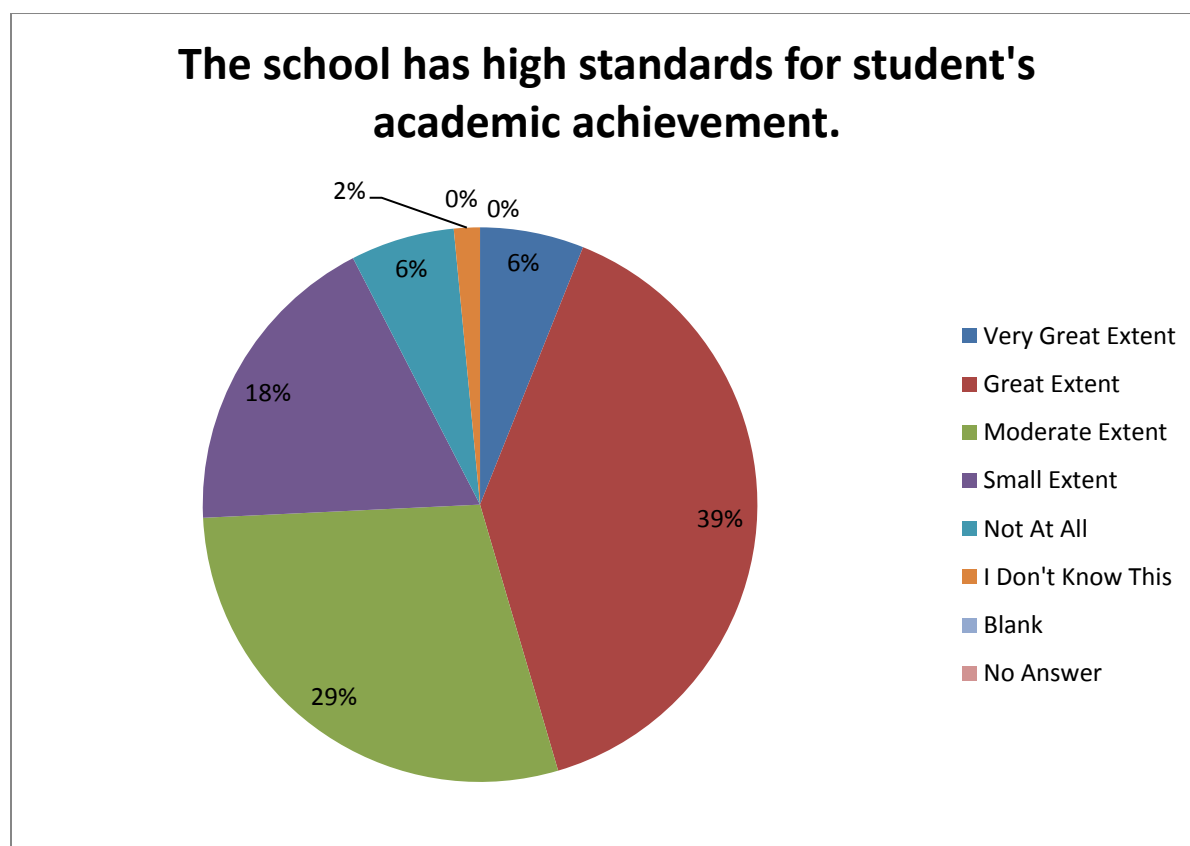
Survey Question 1: Environment



Results show that 74% of School 3's secondary teachers felt their school has high standards for students' academic achievement (Table 8.1).

Table 8.1

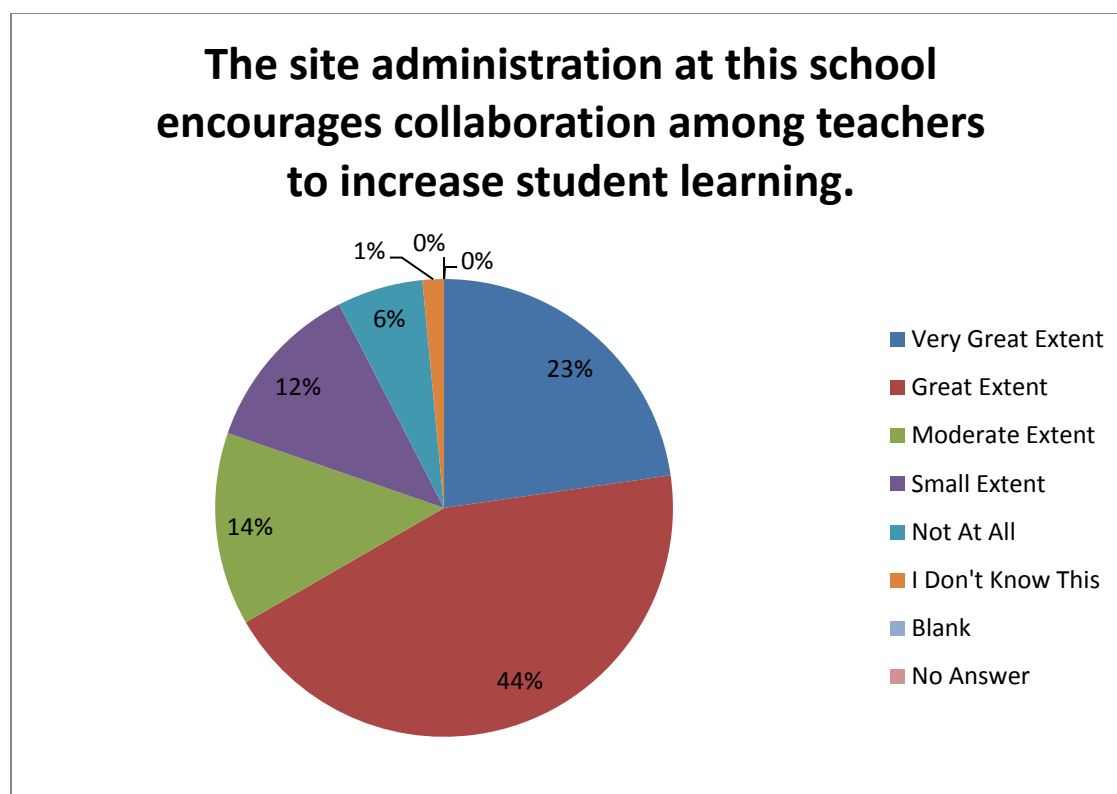
Survey Question 2: Environment



There were 81% of the respondents from School 3 that believed their site administration encouraged collaboration amongst teachers to increase student learning (Table 8.2).

Table 8.2

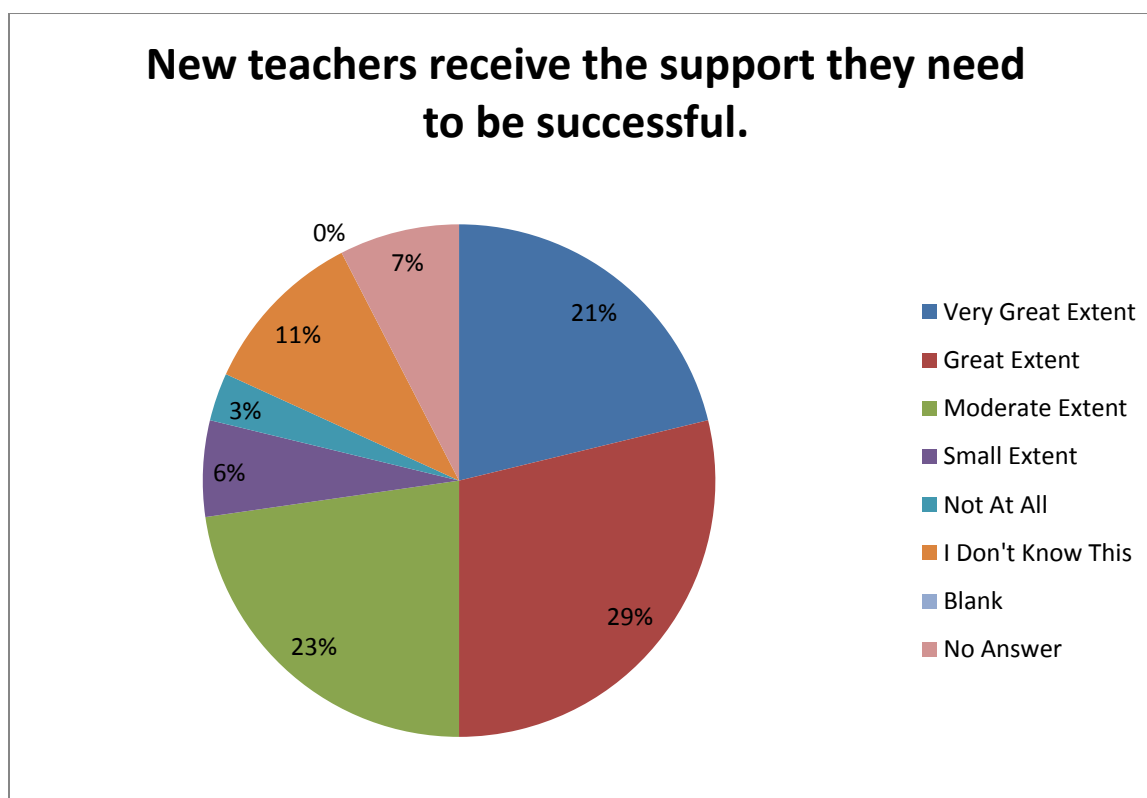
Survey Question 3: Support



School 3 reported 73% of their participating secondary teachers believed new teachers received the support they needed to be successful (Table 8.3).

Table 8.3

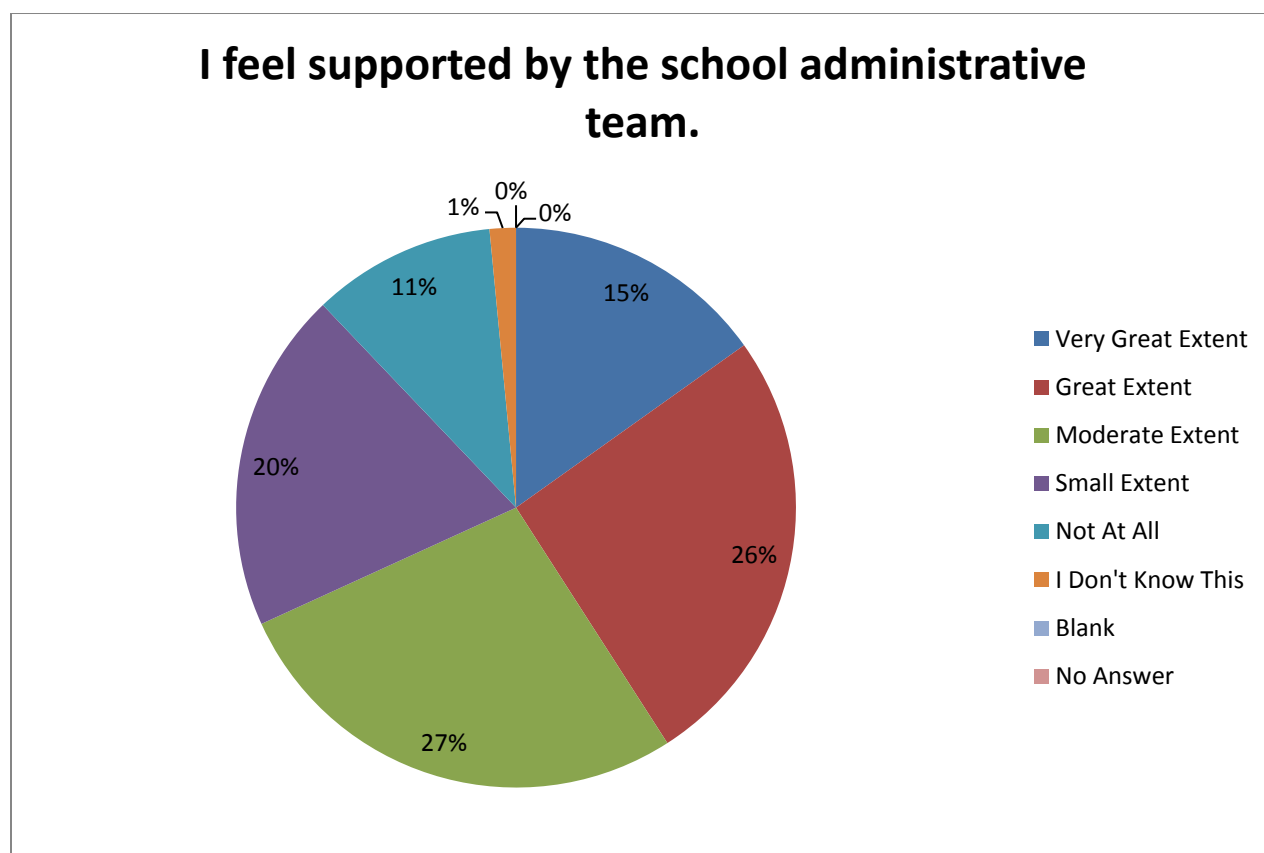
Survey Question 5: Support



Results showed 68% of the respondents felt supported by the school administrative team (Table 8.4), however 31% did not agree with this statement.

Table 8.4

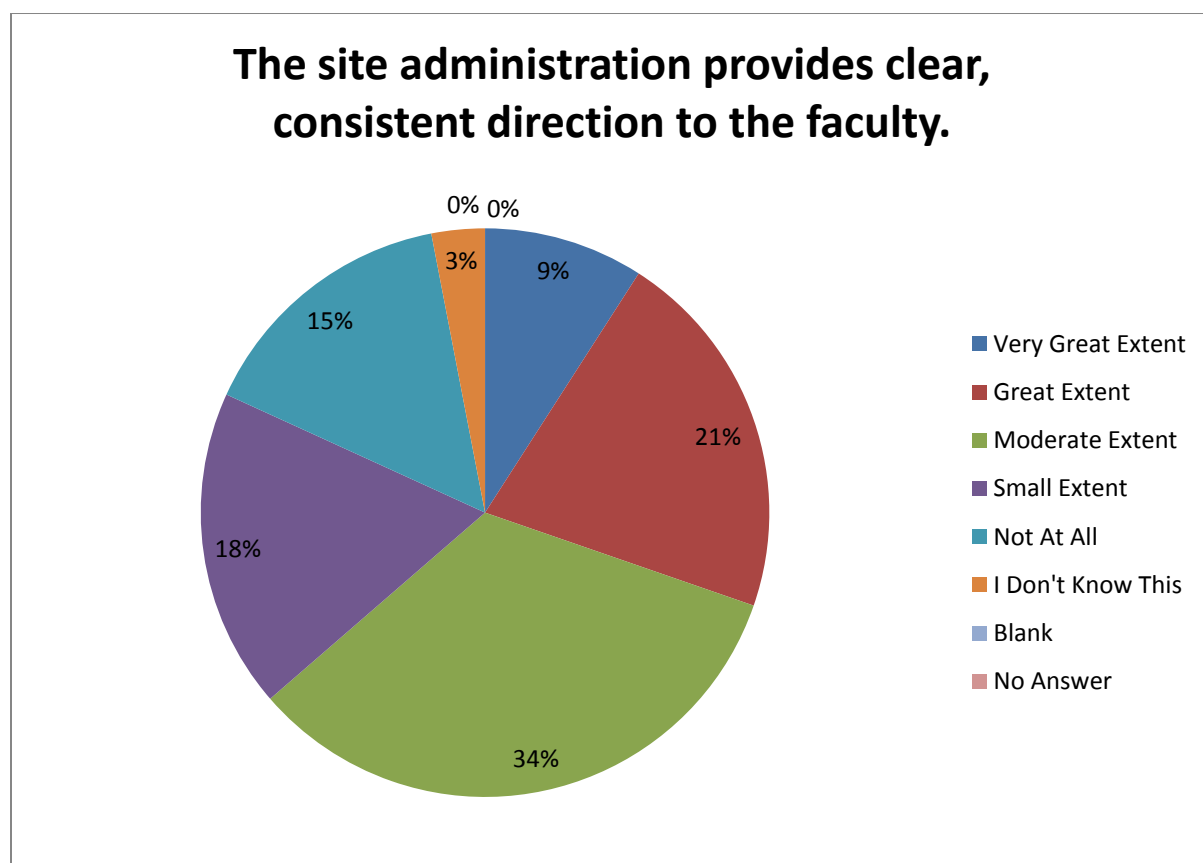
Survey Question 7: Support



School 3 respondents reported 64% felt the site administration provided clear, consistent direction to the faculty, whereas 33% felt the site administration did not (Table 8.5).

Table 8.5

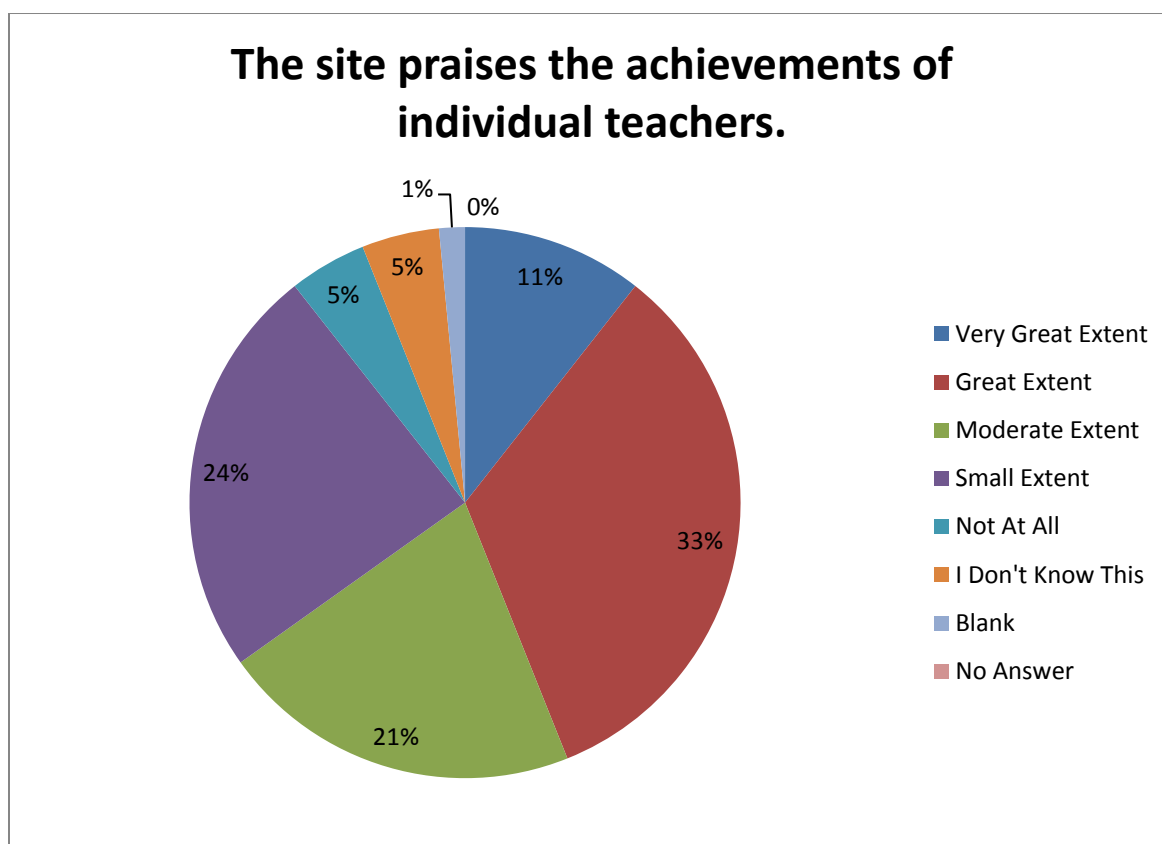
Survey Question 9: Support



Respondents reported (Table 8.6) that 65% of secondary teachers perceived the site praised the achievements of individual teachers.

Table 8.6

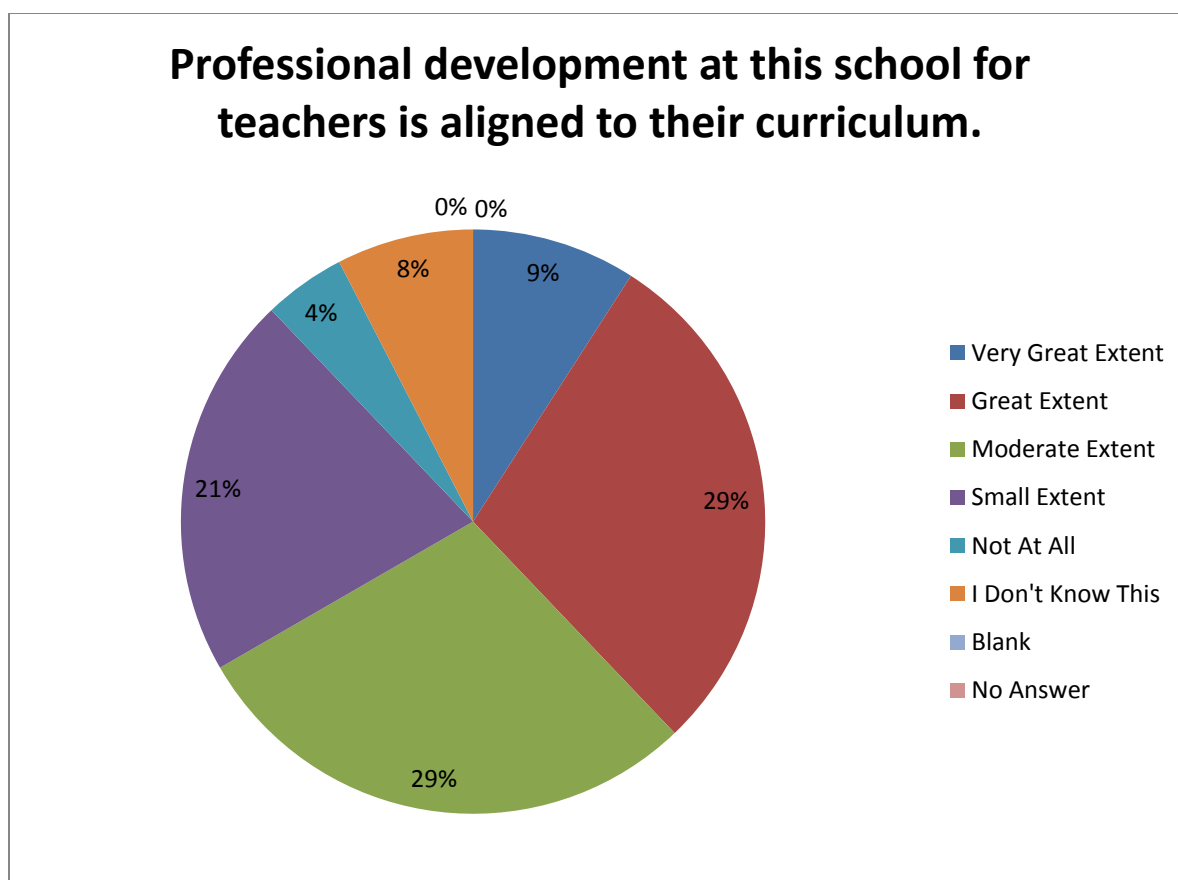
Survey Question 12: Support



Professional development at School 3 for teachers was aligned to their curriculum as reported with 67% agreeing (Table 8.7).

Table 8.7

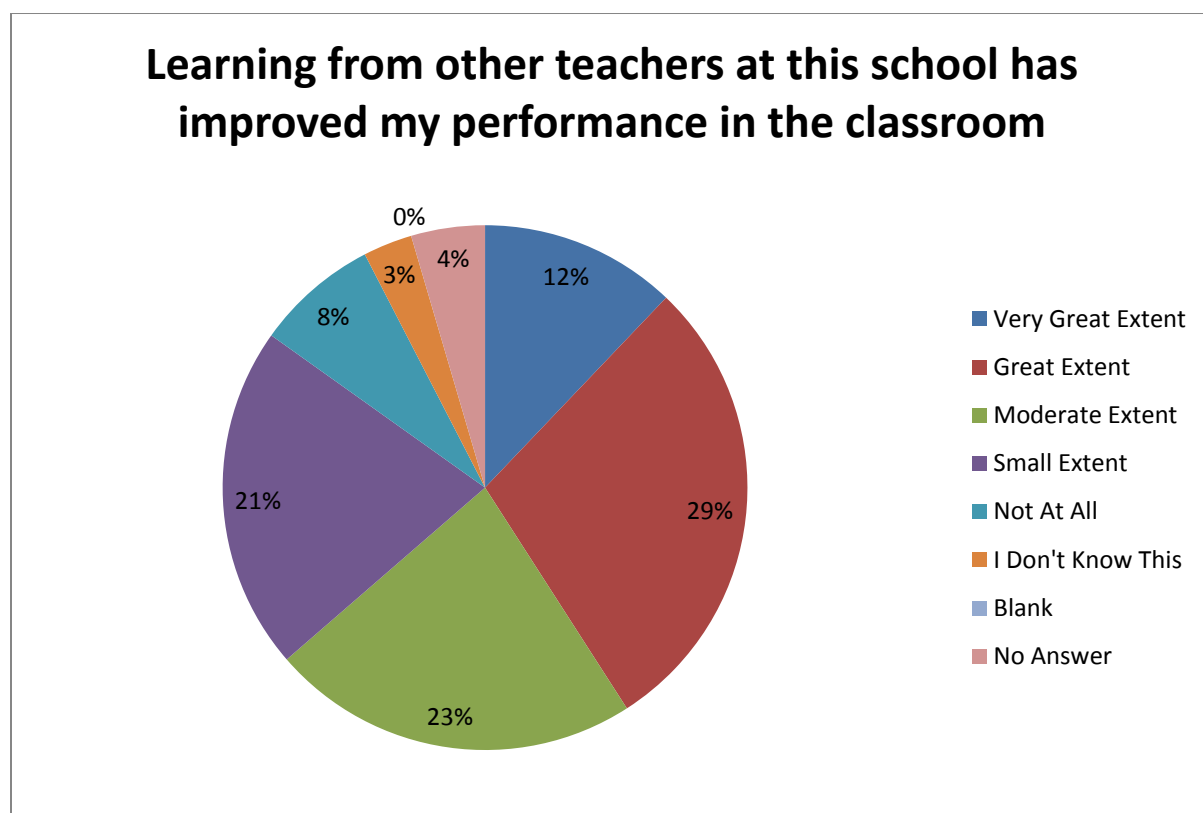
Survey Question 3 : Professional Development



Learning from other teachers at School 3 improved secondary teachers' performance in the classroom as reported by 64% of the respondents (Table 8.8).

Table 8.8

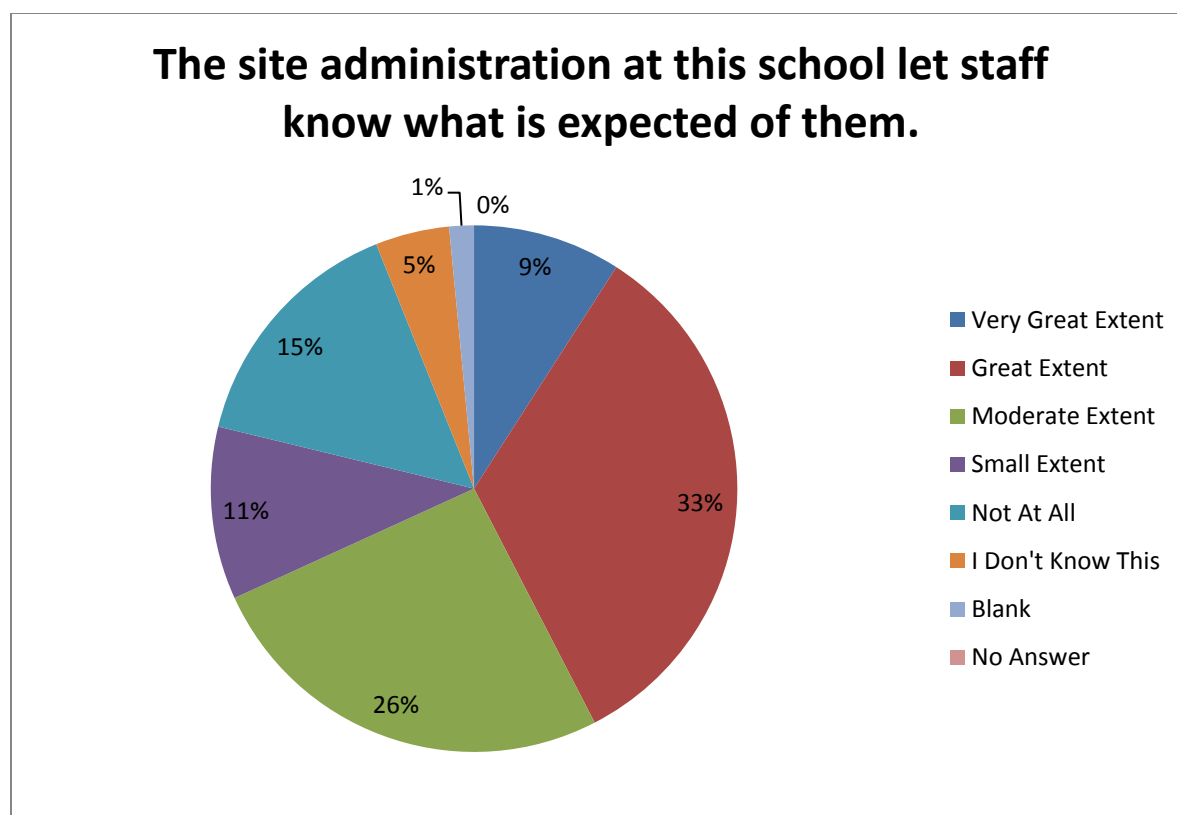
Survey Question 4 : Professional Development



The respondents reported that 68% agreed that their site administration let staff know what was expected of them (Table 8.9).

Table 8.9

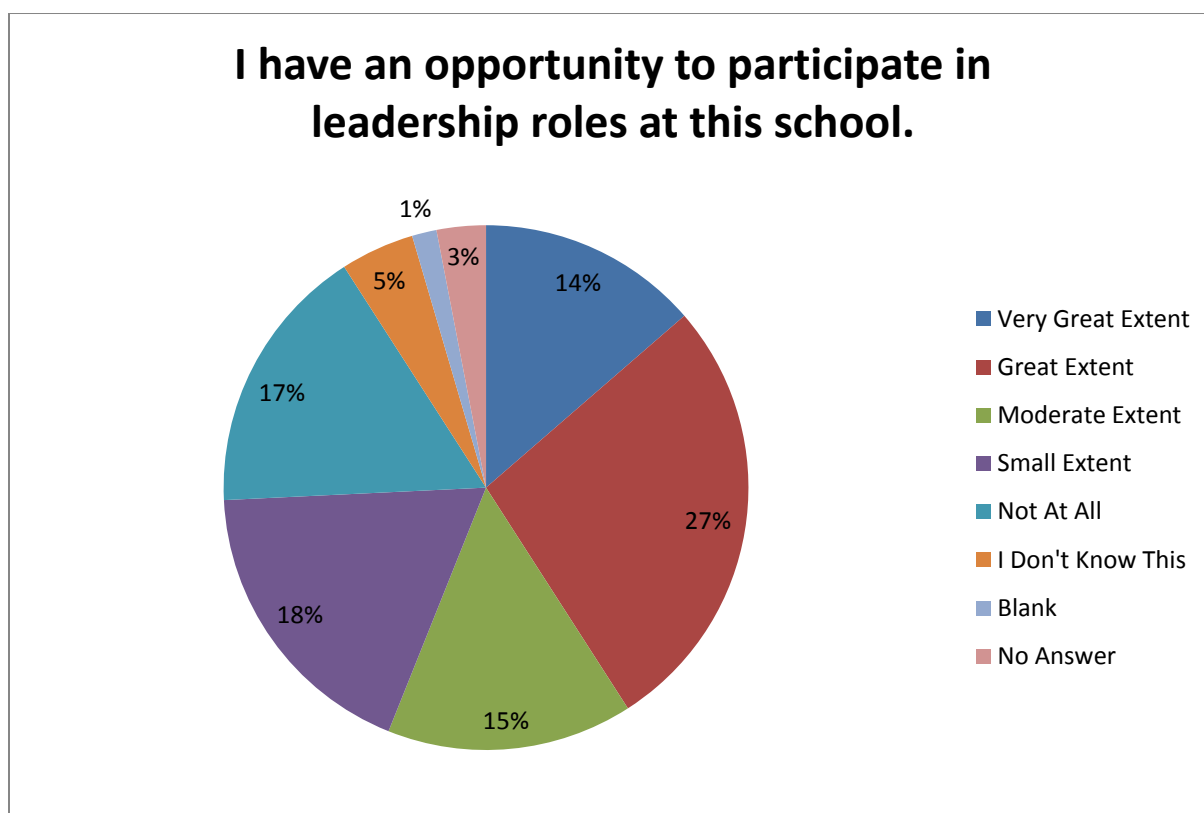
Survey Question 1: Culture



A total of 56% of the secondary teachers at School 3 reported they had an opportunity to participate in leadership roles at their school (Table 8.10).

Table 8.10

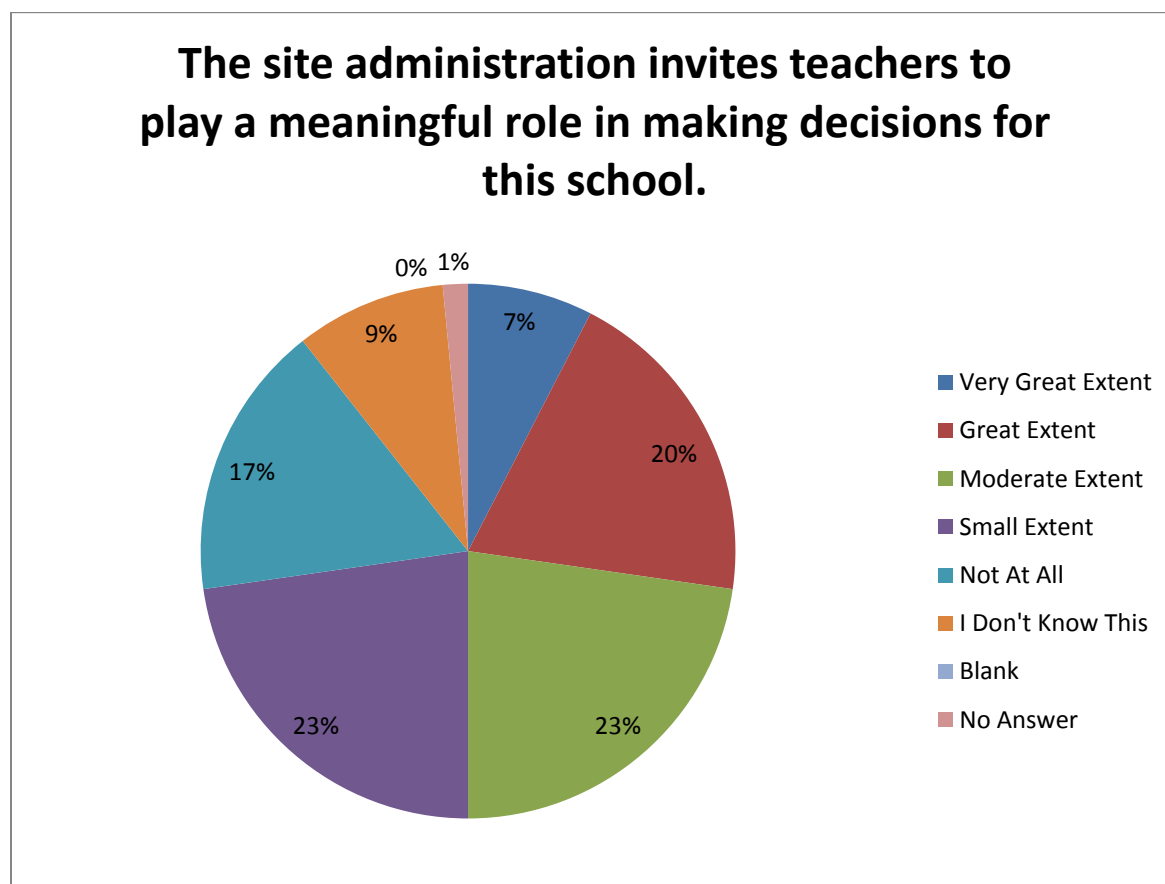
Survey Question 3: Culture



School 3 reported 50% believed their site administration invited teachers to play a meaningful role in making decisions for their school (Table 8.11). At School 3, 40% of the respondents did not feel site administration invited teachers to play a meaningful role in making decisions for their school.

Table 8.11

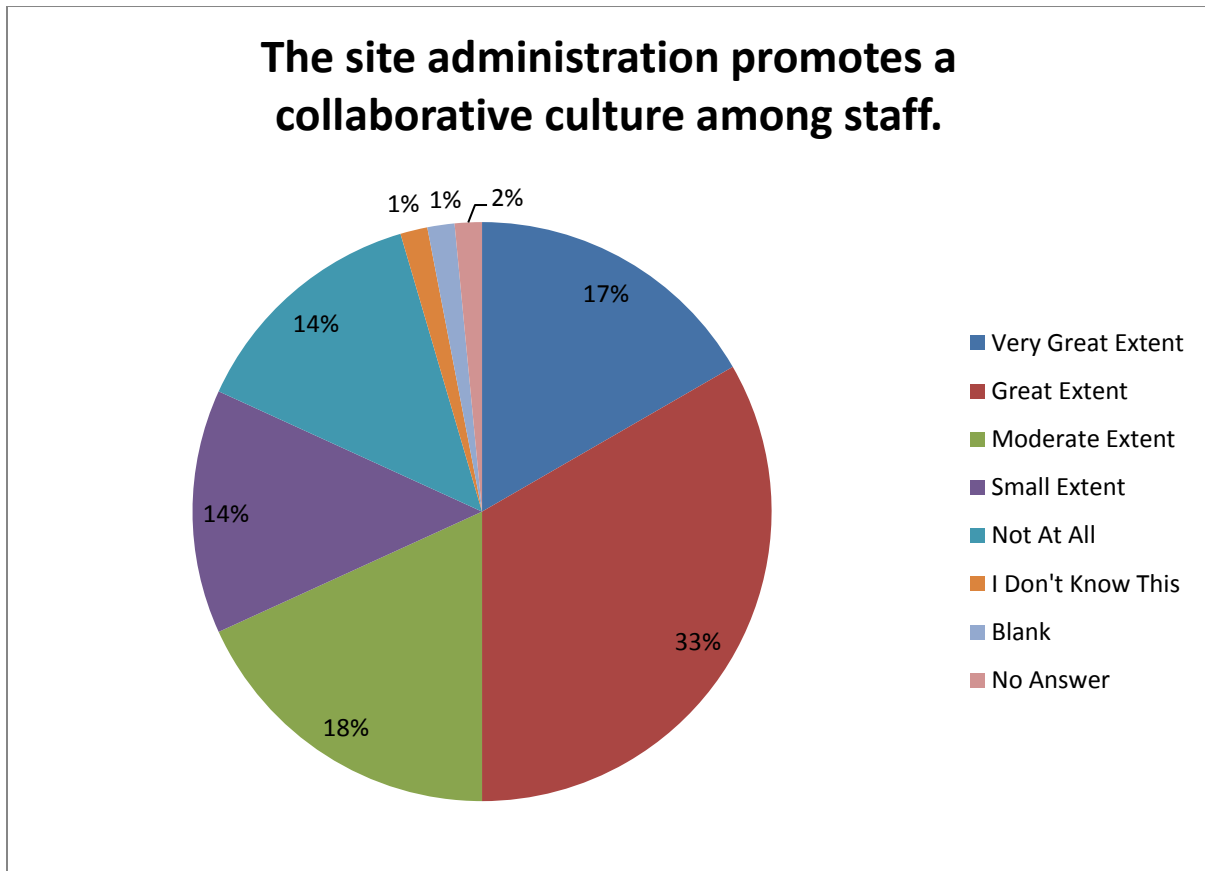
Survey Question 4: Culture



In total, 68% of secondary teachers at School 3 reported their site administration promoted a collaborative culture amongst staff (Table 8.12).

Table 8.12

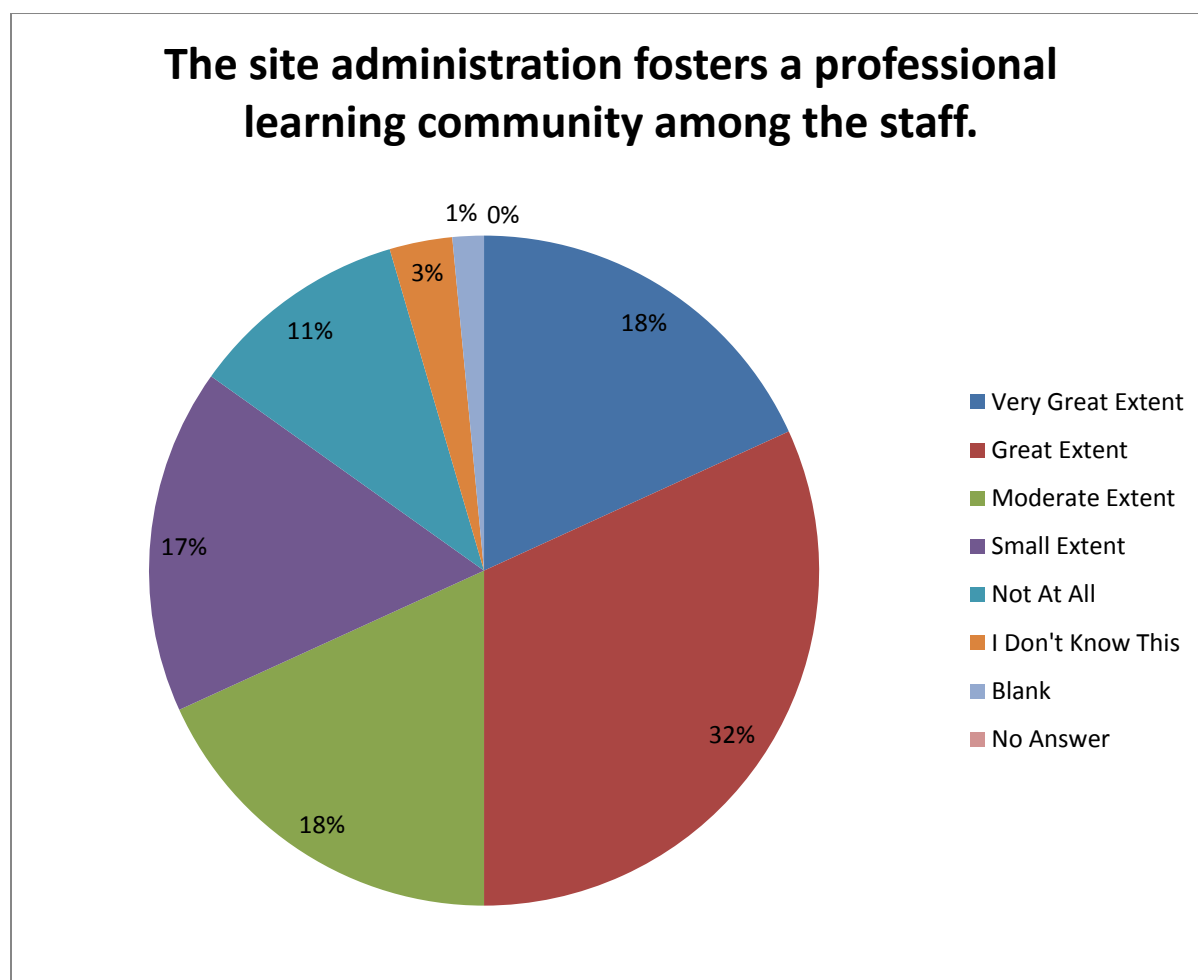
Survey Question 9: Culture



It was found at School 3 that the site administration fostered a professional learning community amongst the staff from the 68% respondents who agreed (Table 8.13).

Table 8.13

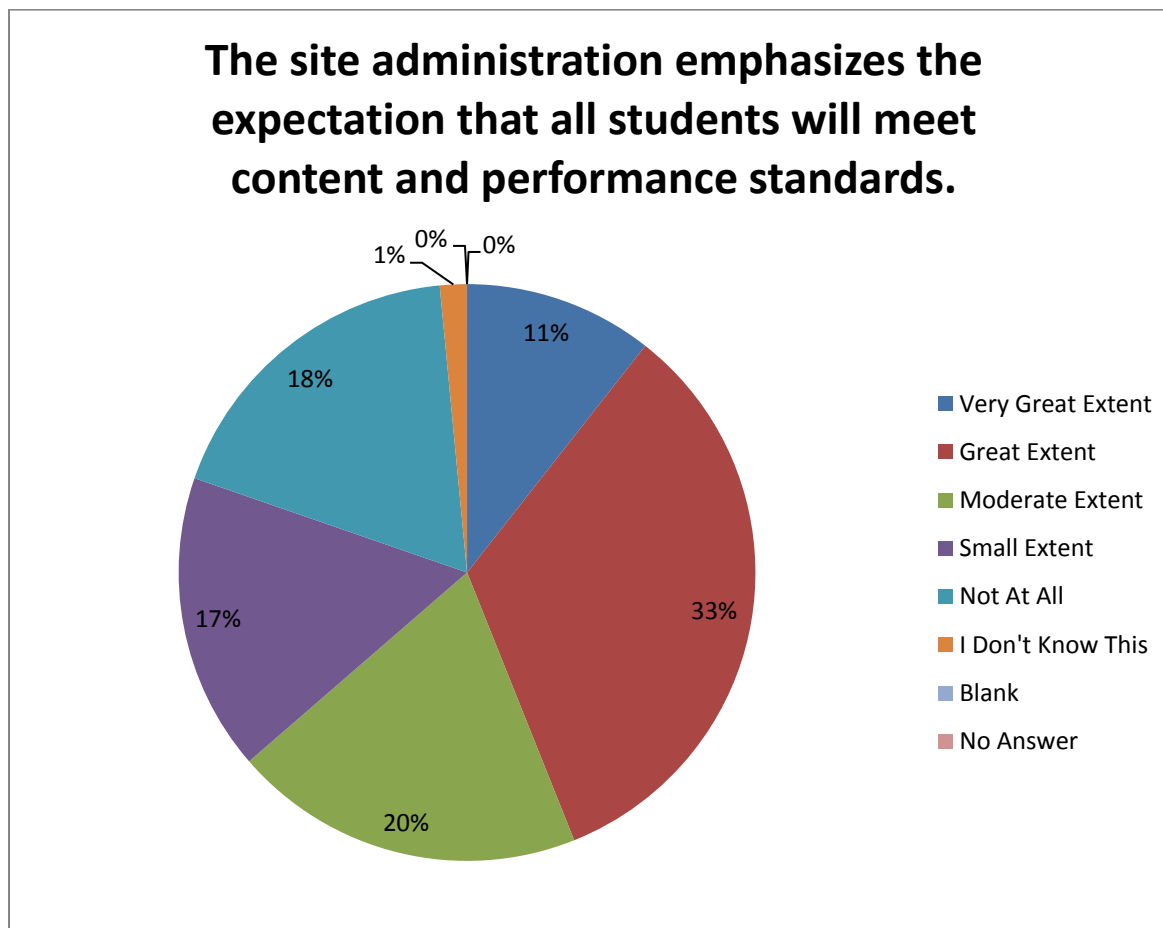
Survey Question 10: Culture



School 3 reported that their site administration emphasized the expectation that all students would meet content and performance standards with 64% of the respondents agreeing (Table 8.14).

Table 8.14

Survey Question 12: Culture



At School 3, respondents reported their site administration used data to shape and revise plans, programs, and activities that advance their vision with 65% believing this statement to be true (Table 8.15). However, 24% did not agree with the statement.

Table 8.15

Survey Question 14: Culture

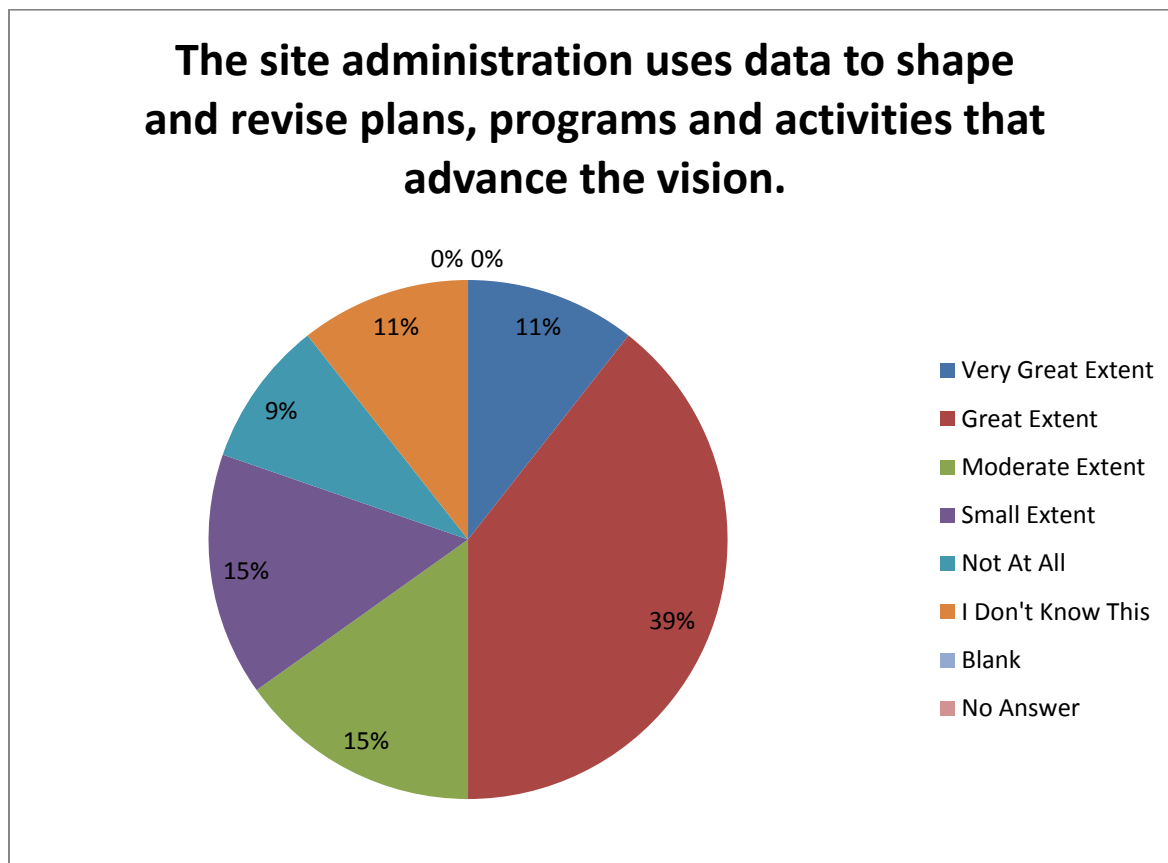


Table 9 illustrates the average survey response using mean by school reflecting the 16 survey questions directly related to Kotter’s strategies.

Table 9

Average Survey Response (Mean)

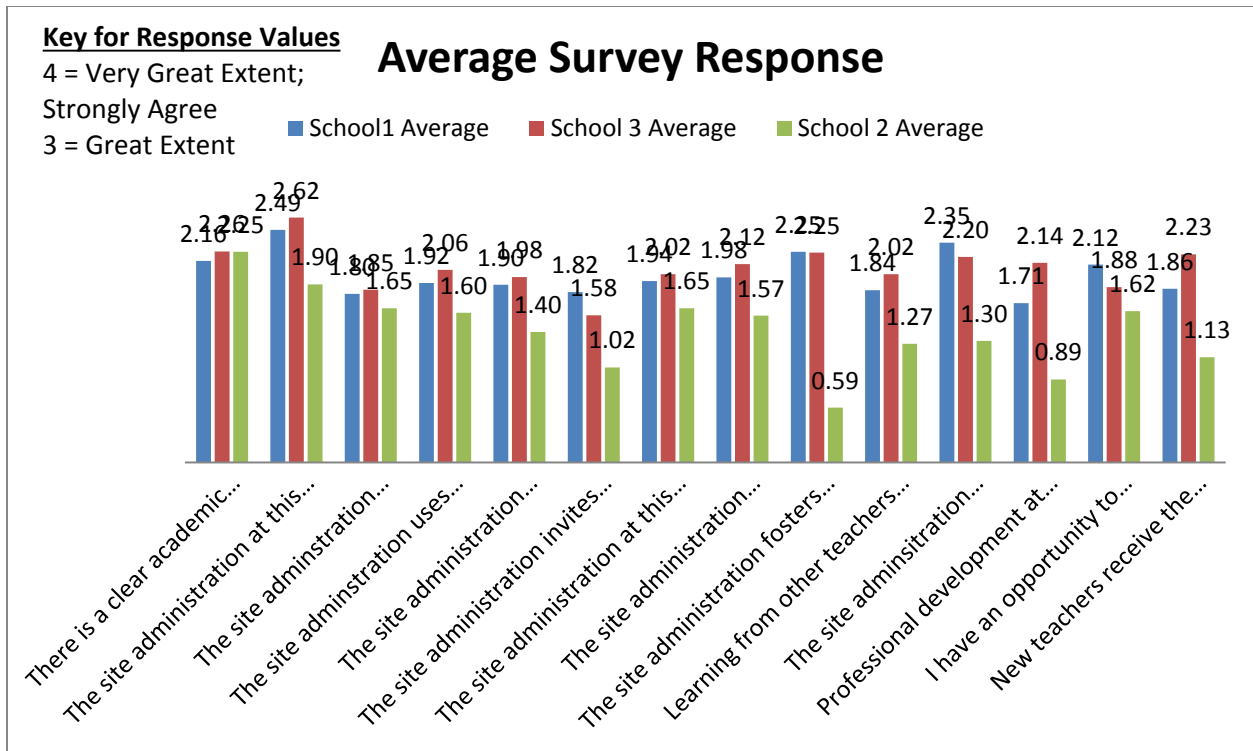
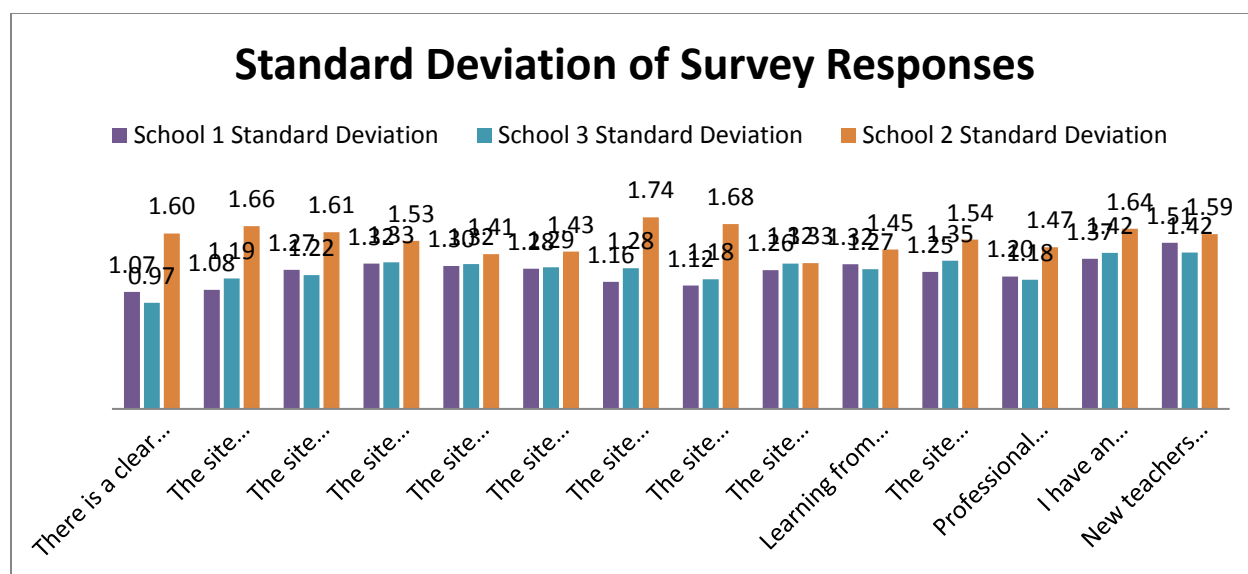


Table 10 illustrates the standard deviation of survey responses by school reflecting the 16 survey questions directly related to Kotter's strategies.

Table 10

Standard Deviation of Survey Responses



Illustrated below (Table 11) is a breakdown of secondary teachers' perceptions in the use of Kotter's strategies to change instructional delivery in order to improve student achievement. The information was deconstructed to standard deviation and mean.

Table 11

Secondary Teachers' Perceptions in the Use of Kotter's Strategies – Standard Deviation (SD) and Mean

Survey #	n	School 1	School 2	School 3
		<i>SD</i>	<i>SD</i>	<i>SD</i>
		<i>Mean</i>	<i>Mean</i>	<i>Mean</i>
There is a clear academic vision.	51	2.16 1.07	2.25 1.60	2.26 0.97
The site administration at this school encourages collaboration	51	2.49 1.08	1.90 1.66	2.62 1.19

among teachers to increase student learning.

The site administration provides clear, consistent direction to the faculty.	51	1.80 1.27	1.65 1.61	1.85 1.22
The site administration uses data to shape and revise plans, programs, and activities that advance the vision.	51	1.92 1.32	1.60 1.53	2.06 1.33
The site administration emphasizes the expectation that all students will meet content and performance standards.	51	1.90 1.30	1.40 1.41	1.98 1.32
The site administration invites teachers to play a meaningful role in making decisions for this school.	51	1.82 1.28	1.02 1.43	1.58 1.29
The site administration at this school let staff know what is expected of them.	51	1.94 1.16	1.65 1.74	2.02 1.28
The site administration praises the achievements of individual teachers.	51	1.98 1.12	1.57 1.68	2.12 1.18
The site administration fosters a professional learning community among staff.	51	2.25 1.26	0.59 1.33	2.25 1.32
Learning from other teachers at this school has improved my performance in the classroom.	51	1.84 1.32	1.27 1.45	2.02 1.27
The site administration promotes a collaborative culture among staff.	51	2.35 1.25	1.30 1.54	2.20 1.35
Professional development at this school for teachers is aligned to school goals.	51	1.71 1.20	0.89 1.47	2.14 1.18

I have an opportunity to participate in leadership roles at this school.	51	2.12 1.37	1.62 1.64	1.88 1.42
New teachers receive the support they need to be successful.	51	1.86 1.51	1.13 1.59	2.23 1.42

Embedded within the 51 survey questions were 16 questions directly related to Kotter's strategies as well as the first question in the interview, *Which of Kotter's strategies were used by your principal to support change in instructional delivery?* These 16 questions and the first interview question asked the teachers which of Kotter's strategies principals used to help change instructional delivery to improve student achievement. Each of the strategies were rated using a 4-point Likert scale. This table is addressing the study research questions where teachers responded.

The eight strategies identified by Kotter are supported throughout the literature as the key strategies necessary for leading successful change. Change as defined by John Kotter is a powerful person on top, or a large enough group from anywhere in the organization, decides the old ways are not working, figures out a change vision, starts acting differently, and enlists others to act differently (Kotter, 2012). If the new actions produce better results, if the results are communicated and celebrated, and if they are not killed off by the old culture fighting its rear-guard action, new norms will form and new shared values will grow, thus fostering, encouraging and making change happen (Kotter, 2012).

Teachers reported the strategies most likely to be utilized by principals were *creating a vision* (mean score of 3.51), *communicating the vision* (mean score of 3.50), and *empowering employees* (mean score 3.44; see Table 12).

Table 12

Principal's Use of Kotter's Strategies to Change Instruction

Kotter's Theory by Strategy	<i>n</i>	Mean	Standard Deviation
Create a vision	16	3.51	.597
Communicate the vision	16	3.50	.641
Establishing a sense of urgency	16	3.48	.640
Empowering employees for broad-based action	16	3.44	.776
Creating a guiding coalition	16	3.41	.631
Celebrate short-term wins	16	3.40	.632
Consolidating gains and producing more change	16	3.34	6.56
Anchoring new approaches in the culture	16	3.28	.716

The strategies least likely utilized by principals were anchoring new approaches in the culture (mean score of 3.28) and consolidating gains and producing more change (mean score of 3.34). Analysis of the data reflects there is a separation of only .23 in the mean scores of all the strategies. The literature supports the importance of all the strategies in leading successful change and does not quantify one strategy in favor of another. Qualitative data were also gathered through an oral interview with secondary teachers.

Professional Learning Community Audit

The Professional Learning Community (PLC) Audit is an instrument developed by Brandon Doubek, who is the founder of the educational consulting company Educational Success. Doubek works with districts nationally and is branching out internationally. Doubek gave me permission to use his instrument in order to gauge if change (according to Kotter) occurred in the PLC portion of the study. Although this study's purpose is to apply John

Kotter's eight steps to transforming organizational change as the framework, participating secondary teachers have been required by the district to participate in education and training in the Professional Learning Community process with one comprehensive staff being trained in the data team process. This will assure that the secondary teachers of the control group are presenting their curriculum utilizing research-based instructional strategies they have found through positive measurable outcomes to work with their school's students.

The control group participated in the PLC audit in both English Language Arts and Math. The departments met at the beginning of the 2017 academic school year and assessed their progress using the PLC audit instrument again in May 2018. The PLC Audit identifies the following areas for the respondents to assess: norms, data used, instructional strategies, success criteria, next steps, and leadership monitoring. The response options for this scale were labeled as *emerging* (1), *progressing* (2), *mostly effective* (3), and *highly effective* (4).

English Language Arts shown improvements in the following area: instructional strategies (progressing to mostly effective). All other areas remained the same. Math experienced growth in the following areas: norms (emerging to mostly effective), data used (emerging to progressing), instructional strategies (progressing to highly effective), success criteria (emerging to mostly effective), next steps (progressing to highly effective), and leadership monitoring (mostly effective to highly effective). (See Table 13).

Table 13

Professional Learning Community Audit

Categories	<i>Math</i>	Key: X = 2017		O = 2018	
	ELA	Emerging	Progressing	Mostly Eff	Highly Eff
Norms	<i>Math</i>	X			O
	ELA			X	O
Data Used	<i>Math</i>	X		O	
	ELA		X	O	
Instructional Strategies	<i>Math</i>		X		O
	ELA		X	O	
Success Criteria	<i>Math</i>	X			O
	ELA			X	O
Next Steps	<i>Math</i>		X		O
	ELA			X	O
Leadership Monitoring	<i>Math</i>			X	O
	ELA				X O

Findings of Qualitative Research**Interview Data**

Telephone interviews were conducted with six secondary teachers expressing a willingness to participate in the follow-up interview. Using a process for random selection, the researcher chose six secondary teachers, two from each participating comprehensive high school. The telephone interviews asked secondary teachers 11 questions. Interviews were arranged by the researcher using contact data gathered from the electronic survey. The interview questions developed by the researcher were used to gather additional qualitative data and provided a broader understanding of the quantitative data gathered through the electronic survey and PLC

audit. The researcher obtained approval to record the interviews. The interviews were recorded and transcribed. The qualitative data were coded and examined for themes.

Interview - Teacher 1

Researcher:

Question 1: Which of Kotter's strategies were used by your principal to support change in instructional delivery?

Teacher 1: Well I would say creating a vision number 3 because our principal she really has a vision of what she wants to see our school go to and how it's going to be done I mean and she communicates the vision that so four, communicating the vision she does a really good job of letting everyone know her vision and the School's vision and trying to say where we're from and where we need to go and then I would say 5 She empowers others with our staff she gives a lot of things where we work as a staff here to do to implement the vision of the school like right now we're working on WASC and we have to really just put what are School looked like before and how it's changed and where we want it to go so that we have that for the WASC visit.

Researcher:

Question 2: In what ways have you changed your instructional practice/delivery to improve your student achievement? Teacher 1: Well I mean. It's kind of hard because when I started teaching it was a lot of direct instruction where I was doing a lot of I talk, they listen I give the instruction and kind you know. Now I have to really assess and see where they're at you know so and it kind of helps for me to see as an educator what how I'm doing you know if I like before when I just taught it and they didn't get it a lot of times it was okay they're not getting it but now I have to go back see what I'm doing my instruction how they can get it look at the data make sure that their understanding what they're doing so that's a lot that you know I've changed over the years to you know during instruction.

Researcher:

Question 3: What has been the focus of that change? What strategies were added?

Teacher 1:

well what we did here is we looked at how we can improve overall is a school in are not testing looking at how we can increase our achievement so you know I'm social studies so we're not like one of the big things so I'm going to try to implement that with English so I've been looking at what things I can do in my classroom do a lot more writing do more critical thinking more citing evidence you know so I looked at that because that some of the strategies that has to be on the CAASP test so just changing that so we can use so we can improve the achievement on our testing.

Researcher:

Question 4: What support did you receive from your administration to implement the change with your instructional delivery?

Teacher 1:

You know, we receive a lot of support our assistant principal will come in and you know I'll asked him like if I have questions if it wasn't because what I'll do is I'll teach things and then I'll ask him okay can you come check to see if this outcome see how our classrooms doing come see how this is going he'll give me feedback on that our principal she's very you know involved so she will come into the classroom and then she'll come and tell me what she would like. I like seeing what you're doing or you might want it she gives me strategies on what I'm doing that'll be improved so what I try to do is when she gives me those things I try to make sure that I call her back in so she can give see that I put in place what she had and then she can say I'm doing well or if I need to improve on it more so. my administrative team they're very supportive I feel comfortable with them I feel comfortable that I can talk to them and I feel like we're a team compared to it being top down.

Researcher:

Question 5: What are your perceptions of the effects of the changes you made on Student Success?

Teacher 1:

I think it's hard because I think it's working and I think it is doing better you know but then I feel like I'm not being successful implementing it all the time I see that my kids are you know instead of just answering questions that are just like what year did something happen they're looking at the economics of something so they can see why this happened so I'm seeing that they're thinking more critically and engaged but at times I feel like I need to do more changes you know I'm just implementing a little bit so it's really stretching me as an educator

Researcher:

Question 6: Describe any barriers you may have encountered while changing your instructional practice?

Teacher 1:

even though I'm doing these changes and I'm trying to implement these things I'm not doing I feel like as educator I'm not doing the best way, so I got to keep revamping it and going over and going over until you know you get it correct so that's one of the things. Another thing is sometimes it's difficult you know we got when I'm stretching my kids they sometimes it's hard for them because they want to just answer the question and be like this is it, but I want them to go more into depth with the answers and stuff so sometimes I feel you know. The kids and I

don't like blaming our kids because that's an easy way out, but I feel like it sometimes they don't answer it as well, so I could give it to him

Researcher:

Question 7: How clear were the goals communicated by administration when you learned about the change process?

Teacher 1:

they were clear, they were like, they were really given to me these are the goals this is what we are going to do. The things that I like is they really didn't put it in a negative way. They put it in a way We're going to change and these are some of the goals that we're going to be doing in my past you know because I've been an educator for a while you see a lot of changes all the time so you always see you thinking okay this another thing is going to happen but the good thing about our goals was it was set up so that we can see why it was important to have these goals and why we need to do the changes so I thought they did a good job with it.

Researcher:

Question 8: What were some of the key marker events during this change process that were most memorable to you?

Teacher 1:

So a couple things we did was we really changed our mission and vision so it's aligned to the common core with it and the way we did that was we kind of we looked at the goals of the Common Core to see how we can change that now for me it was kind of a hard shift because I was used to teaching in the standards that we have before so we have to really look and see when you look at the common core goals you when you look at that it makes you stretch a little more than that in the standard so we had to say okay this is where we were this is what we need to do and then we filled in what can we do as Educators as Teachers to get to these goals with it I mean it was good it was messy but it was cool you know at first I was not really Totally for it you know but I can see how it can really be successful

Researcher:

Question 9: What were the three most important advantages of the change process?

Teacher 1:

I would say I was saying you know we did well one of the things is collaboration because before we didn't work as teams as much now we do a lot with our PLC teams and we work together and it gives us different ideas on what to do in our curriculum that work because I you know being a social studies I sit there and we do our things English does there's new math it was cool because they want to see us more working together and using those things to not just say every subject's

separate but interlocked together and Social studies can help with English you know specially when we're testing and I think it built a positive climate here you know we had that we had the groups in the PLC so I mean One of the things we do now, I don't know I'm getting off of the subject but it built a climate where we are having picnics on the lawn with other teachers so you know that before it was you know you didn't do that especially high school because you know you kind of stick with your department and you speak to your people and then we are getting more people to get together I'm noticing more people and I'm talking to more people so it really helped us to build as a team

Researcher:

Question 10: What were the three disadvantages that are memorable during the change process?

Teacher 1:

I remember it was a long process, it took a while. We had to, for me I'm more of a okay we're doing it I mean some people don't like change you know and I get it because we're set in our ways but are for me I'm more of a okay we're going to change what do we have to do we got to do that other people it was like this is not right so we had we had discussions that went on for a while and it's like you have to keep going through why we were doing this change and I'm so for me I get a little irritated because I'm like let's just do it, let's just move on and go other people they want to stick to their roots but our principal does a good job of showing the change why we need to do the change listening to everybody you know giving them their you know feedback so you know it was it was it was it was a process that was you know at times tedious for me but It's something we have to be done

Researcher:

Question 11: What advice would you give to leaders planning to make system-wide changes?

Teacher 1:

Like I just said, you have to listen to listen to people I mean first of all nobody likes change. me I mean nobody likes it I mean you can accept change but as an administrator if you come in here and say everything you're doing is wrong and we're going to do this for me as a teacher, it makes me feel like OK this guy or woman doesn't care about what we've done in the past they just think they're thing is right so our stuff is wrong so you got to get to know the culture you know and making those changes I agree some things need to change because just because we've done in the past is not correct but you just can't come in and throw out the baby with the bathwater. if you got it listened to everyone and pick and choose what needs to be changed. And listen, that's the key thing is listening to your staff even though like I said before as long and tedious and Some people don't want to, but I do want to be heard as it as educator.

Interview – Teacher 2.

Researcher:

Question 1: Which of Kotter's strategies were used by your principal to support change in instructional delivery?

Teacher 2:

All of them definitely coming in to do the noticing what was missing forming a team to do that. Having a vision and making sure that everybody knew what it was and making sure that everybody had a part in it we had a plan and now we're starting to see some of the changes so all eight.

Researcher:

Question 2: In what ways have you changed your instructional practice/delivery to improve student achievement?

Teacher 2:

My classroom has become more student-centered. I have taken many suggestions from my colleagues in the PLC and have used them, for example, Checking for understanding more often and reteaching right away because my students feedback is saying that's the right thing to do. Also using data to drive my instructional decisions, we've done it but not at this level. I've also use assessment a little differently and allow my students to practice more and I don't grade every single thing they hand in.

Researcher:

Question 3: What has been the focus of that change? What strategies were added?

Teacher 2:

part of the focus has been math, so it's been curriculum, but it's also been pretty much a leadership change too. it's more Hands-On since you've been here. You haven't always had the best support systems in place but that takes time as well and the sense of and the changes haven't helped but I think the Hitting the ground running part of it and the curriculum together have dovetailed. PLC's definitely. having more of the celebration of the little the baby steps that were making to make those changes having everybody be a part of the vision to make sure that we're all on the same page

Researcher:

Question 4: What support did you receive from your administration to implement the change with your instructional delivery?

Teacher 2:

PLC's been huge just having that time to collaborate and make changes and understand that the data does make a difference in that we need it to drive what we're doing

Researcher:

Question 5: What are your perceptions of the effects of the changes you made on student Student Success?

Teacher 2:

I find that they're very positive I think if the kids are trying they're being successful and now it's using the data to reach the ones who aren't trying to make that change

Researcher:

Question 6: Describe any barriers you may have encountered while changing your instructional practice?

Teacher 2:

I haven't really had any barriers because I'm still learning and growing as well so I was set goals for myself to make those changes and having the administrator back me up to help me make those changes be it with the articles that are sent or just the one on one time and the open door policy has been very helpful.

Researcher:

Question 7: How clear were the goals communicated by administration when you learned about the change process?

Teacher 2:

extremely clear because we took it slowly and having it go slowly helps everybody to understand where we're coming from and where we want to go and how we're supposed to get there

Researcher:

Question 8: What were some key marker events during this change process that were most memorable to you?

Teacher 2:

Probably the mission and vision statement process was huge but also the data-driven PLC Focus has been really big too and having that data be more Visual has helped our entire team see that what we're doing is making a difference.

Researcher:

Question 9: What were the three most important advantages of the change process?

Teacher 2:

More communication a clear roadmap to where we want to go. And then like I said before that open-door policy is really, really, really helped knowing that we can go and actually sit and talk about either difficulties or whatever is happening at that time.

Researcher:

Question 10: What were the three disadvantages that are most memorable during the change process?

Teacher 2:

It's been a stutter stop go kind of process because of all the staff changes in administration and I don't know if everybody's always on the same page because of all the people who've been here the longest we're all on this this page and then people have to catch up and so to me it's the, How do you say that, the overturn the employee overturn is I think been detrimental to some of it and I'm special and I don't like change so that's always hard but it's the personalities and making sure that everybody's fitting and stuff like that so I think just the changing of the because we've had so much change since you've been here and it's like every year we got to train a new administrator so I think that's been the biggest stumbling block to getting everybody on the same page.

Researcher:

Question 11: What advice would you give to leaders planning to make system-wide changes?

Teacher 2:

It's hard that's a hard job you guys have a really hard job and when you have that change that consistent overall always changing things you really can't do anything about it unless it's You know making sure that the people you hire know exactly what they're stepping into and knowing that But I don't know if you can even do that because everybody brings their own stuff to the table and their own experiences to the table so I got nothing I think you guys for overall from where we started we've come super far. It's the buy-in from the teachers I think that whole Mission, Vision process really got the buy in and so doing that with everything going forward is going to be key and I know some of it with the discipline matrix's and stuff like that we don't

have a lot of faith in and but making sure that there was on the same page and keeping everything positive goes a long ways.

Interview - Teacher 3

Researcher:

Question 1: Which of Kotter's strategies were used by your principal to support change in instructional delivery?

Teacher 3:

let's see, so I feel like we've gone through all of them. I feel the vision thing is huge and you've always been Like very clear in meetings email like always stressing like this is our goal and like what we going to do to get to our goal in any subjects are any discipline tardies like anything it's always been like this is what we want and like these are the steps we are going to take to get there so three is big so yeah for sure all of them.

Researcher:

Question 2: In what ways have you changed your instructional practice/delivery to improve student achievement?

Teacher 3:

I have added more activities that allow for celebratory times. I really like that component of the change process. I think celebrating short-term wins helps with not only the classroom but the culture of the campus and morale of both students and staff. It's powerful.

Researcher:

Question 3: What has been the focus of that change? What strategies were added?

Teacher 3:

for like it the first time and was like the SBAC testing and we're doing the weekly tests so number six (celebrations) with instruction wise when switch strategies do you think you added are we have been added in our department is have creating a vision like what do we want to do what is our. in our department meetings we always have creating a vision, like what we want to do as a department what is our goal as a department. Especially my department, life skills, where we all have different things and it's like how are we going to take this one goal that we have and then apply it to all of our different areas so sometimes it's hard for my colleague and I to come up with ways to collect data on our kids but we made a final, there's a rubric, they're writing these Amazing letters that like have all made me cry so having like a common vision and the collaboration piece.

Researcher:

Question 4: What support did you receive from your Administration to implement the change with your instructional delivery?

Teacher 3:

even with the changes that we've had I've always felt like super supportive and this is like mostly for you because I have not had the best experience with the previous administrator but like I was terrified to even ask questions or come to him with concerns, so I've always felt like we've always had like a very comfortable relationship and that's been so huge. Usually it's like your boss is scary to even come to him for anything but I feel like we have a relationship where you feel like you can come to anyone of you and not feel like intimidated.

Researcher:

Question 5: What are your perceptions of the effects of the changes you made on Student Success?

Teacher 3:

I like it I like that everything's communicated everyone is trying to get on the same page and there's always going to be that fight and resistance and we all know that not everyone sometimes wants to be a 'Negative Nancy', but we keep enforcing and we keep repeating the same things over and over again eventually everybody is going to get on board. And I think maybe in the beginning it was like change, people will freak out, but I think more people are buying in to the whole thing

Researcher:

Question 6: Describe any barriers you may have encountered changing your instructional practice? Teacher 3:

I feel like I'm super lucky because I have really good kids, so I think that some of the challenges that other people have maybe with disciplinary issues I feel like I don't really have to deal with

Researcher:

Question 7: How clear were the goals communicated by administration when you learned about the change process?

Teacher 3:

very clear like the more people see things hear things like I'm very visual so maybe in like meetings some people are like everything that you guys talk about in our staff meeting the same thing is sent in emails like that same week so it's like if it's not clear than you're not just paying

attention So I think everyone has made it very clear to what we're trying to do and what are goals are.

Researcher:

Question 8: What were some key marker events during this change process that were most memorable to you?

Teacher 3:

I just think the overall like culture of like bringing more positivity has been like so huge like people who maybe weren't always like put in the spotlight or celebrated for their things are like they are now so like not everybody has like they're not going to volunteer to do everything or but like even teachers that you wouldn't, they like they like to just feel like they're important and included I feel like we're doing really good job with that just making everyone know there was one of the circles it's like I can't remember which one it was...Empowering others. Everyone always like, even in our PLC having a little job I think people buying more and more excited about things, so I think just this overall culture that's changed for the but for the better.

Researcher:

Question 9: What are three most important advantages of the change process?

Teacher 3:

Getting more people involved and bought into the school as the whole getting everyone on the same page, same team and I think just like instead of having like admin teachers it's more like a whole team thing so I really think that is a good thing that we have that I think not a whole lot of other schools have especially when we have meeting with other people and I'm like oh my gosh you guys deal with so many things that I would like never have to think about like having to do . You know how you always say family and I really think that how we are here, so I really love that

Researcher:

Question 10: what were three disadvantage that are memorable during the change process?

Teacher 3: It's kind of just like discouraging when we're trying to do so many positive things and you hear people still trying to find something to complain about that's the only one I can think of.

Researcher:

Question 11: What advice would you give to leaders planning to make system-wide changes?

Teacher 3:

not to try and like do everything on your own but to just make other people feel empowered to also lead with you that's what I try and tell and tell my kids. You don't have to be a "boss", you can get other people to buy in and every everyone could be a leader so you kind of like lead the pack but you don't have to be like the first one in line.

Interview - Teacher 4

Researcher:

Question 1: Which of Kotter's strategies were used by your principal to support change in instructional delivery?

Teacher 4:

okay so these are all the strategies. Ok so to change culture and climate was create a vision. It is very important to us as a school because we got to have a say in it and then by allowing us to kind of have that Vision in a classroom and what students needed to learn so that created some kind of change and then I think empowering others as well having more say so in what's going on in our school and then then I think the wins this loss short-term wins in our meetings has kind of forces to look at what we're doing in our classroom as well what celebrations that goes along 2 maybe the testing part 2 once we start looking at how many kids are scoring higher it kind of allows us to see okay we're doing this good or we're not doing this good. So, it allows us to go back and change those tests. those little tiny wins that I think has created some change in our classrooms.

Researcher:

Question 2: In what ways have you changed your instructional practice/delivery to improve student achievement?

Teacher 4:

I have changed my classroom seating and put the students in groups at tables. I have also began using research-based instructional strategies that were suggested by admin, trainings and PLCs.

Researcher:

Question 3: What has been the focus of that change? What strategies were added?

Teacher 4:

The focus like data-driven Focus I think that has because it forces us to look at golly, we suck what are we going to do about it so it kind of has forces to really think about what we're doing in the classroom how we are teaching, what strategies we are using. When we look at how come

some of us are scoring higher than others and we're like okay so are you talking more about it. what strategy strategies are you using and that really has helped out. For us it was warm-ups because if you're if you spend a whole day talking about a certain issue the second day sometimes kids forget about it so we started using the warm-ups to ask questions about what we did the prior day and then so like hands up five points extra credit for those that go up that helps out and then we're hearing the conversation so we're checking for understanding right away blah blah so that has helped us.

Researcher:

Question 4: What support did you receive from your Administration to implement the change with your instructional delivery?

Teacher 4:

I think allowing us have a PLC meetings because without that and then of course the illuminate seeing the data on all that having that in front of us even though sometimes we complain about it like ah man but when we have those conversation we start looking that has allowed us to look at what we're doing. also requiring us to write down the things that we are doing I think if we did not have to write that down or just go from one ear out the other but showing proof writing things down that has helped us.

Researcher:

Question 5: What are your perceptions of the effects of the changes on Student Success?

Teacher 4:

I feel like we still have a lot of them to grow. I think that by allowing us to have those conversations sitting down talking about it I think it's beneficial we're not fully comfortable yet discussing a lot of the things but every year I notice that we get a little bit more comfortable and more comfortable and we're creating that data that we didn't have before.

Researcher:

Question 6: Describe any barriers you may have encountered while changing your instructional practice?

Teacher 4:

Oh at first of course nobody likes change, especially the new technology. that has been an issue as soon as we get comfortable with something certain parts of technology we have to switch it up and that's been an issue. we barely started illuminate which I think people fought or people in my department fought for a for a minute but once we start seeing the benefits of it that has always been the issue there is just changing things over to different formats, different software, what did we have before illuminate I forgot? data director. Data director changing all that stuff that's what

gets, those were the things that people were upset about. You mean I have to rewrite it again those were the complaints but to me, I like change, I like to try new things because I learned from it but not everyone's onboard to do that

Researcher:

Question 7: What were some key marker events during this change process that were most memorable to you?

Teacher 4:

When we first started doing plc's we didn't know what the heck to do. with every year everything education seems like it's slow so with every year we would add something new, something new, reflect, go back and then we have those forms that we have to fill out to reflect we go back and then I think having everyone change the role really helps because then you get stuck I already know how to do that and then you start doing it all blindly and I think that by changing the role you get to see other roles and like okay this is what I was supposed to be doing more this I don't know if that I'm making sense or not but it's like. Being a department chair okay I know what was required this and this and that you will lead your team, but they don't know until they take that role. and I think that is why it's important to empower others by taking that role then I go okay now I know what this is instead of just following blindly

Researcher:

Question 9: What were the three most important advantages of the change process?

Teacher 4:

I think one is getting us all trained for the PLC, I think that's very important because we all know what that's talking about. we all know what we want for my students how to attack it. I think those that haven't had the training it's harder just for someone to sit there and talk about it then having them listen to it and practicing by someone that has done it for a long time. what's the guy's name I forget? (Brandon) Brandon, yes, I think that was very powerful. That was an aha moment .so I think just training everyone and I know you have spent time to do that and I just sit in that PLC oh making, I don't know, doing something that we're not really supposed to be doing but that has opened our eyes knowing what we need to do. and then the data driven part that has also been an aha moment because who are our students, how do we reach them and then kind of going back to so what are you doing in class and how come your kids passed and mine didn't so that hasn't been important and not only that but also allowing us to change our test what to include when not to include. That has been for our department has been an aha moment. sometimes more is not the best way to go. sometimes you can we could ask the same questions with just 30 40 questions instead of having a hundred questions to see what our kids have learned right so I think that has been beneficial for our and then us was sitting down and rewriting things, do you know how hard that is? as a team saying and then us having those discussions maybe we shouldn't include that maybe we should include that so that collaborative PCS that collaborative piece

Researcher:

Question 10: What were the three disadvantages that are memorable during the change process?

Teacher 4:

Disadvantages or challenges once again even though we've sat around and talked about the change, doing it has been challenging because there's disagreements but as a department I think we're close enough to have those disagreements and rewriting everything has been challenging but doable.

Researcher:

Question 11: What advice would you give to leaders planning to make systemwide changes?

Teacher 4:

Allowing the teachers to have some say so. allowing them to have a voice like we did when we started rewriting our vision. it like when we have students during groups you get to walk around in groups, you see what's going on what the issues are and Taking the time to listen more than anything because that's how you get to know your students that's how you get to know your staff and then go from there

Interview - Teacher 5

Researcher:

Question 1: Which of Kotter's strategies were used by your principal to support change in instructional delivery?

Teacher 5:

I think that everything, all the steps are happening in the same time. I feel like to improve instruction is a huge emphasis. It's how it is it just a feeling whatever comes from the administration what is their Vision what they want us to do is I feel like is really about student learning and I think that's it I consider it. Very smart and wise decision because this is what we have to do here, and I feel like it's a priority and I feel very good about that. In the plc's and following this idea that instruction is very, very important it's personally, me, it makes me to rethink everything I'm doing. Change my mind changed lots of things what I did before and. It's just that I think is effective because it Makes me to be better And To come prepared to the classes every single day and to adjust to the students

Researcher:

Question 2: In what ways have you changed your instructional/delivery to improve student achievement?

Teacher 5:

I've used recommendations that have come from the PLC meetings. My department has been very supportive as has admin. I have tried to have more hands-on activities, especially with physics. I want my students to work smarter and not necessarily harder... same goes for me. I check for understanding more and try to not to use a majority of direct instruction to deliver the content.

Researcher:

Question 3: What has been the focus of that change? What strategies were added?

Teacher 5:

For example, of lots of lots of visual things And lots of a Hands-On activities and led the students to Rediscover for example in physics more like I am dying to tell them But I had to force myself to let the students to figure it out then just facilitate the process but let them to work out instead of telling them And it takes a little bit longer but I think it is more effective so this is what I am I changed

Researcher:

Question 4: What support did you receive from your Administration to implement the changes with your instructional delivery?

Teacher 5:

I think I talked about this to almost everybody that I feel very, very lucky that both from the department and the administration and the AP. I received the maximum support possible. Is very, very clear what needs to be done. I have the freedom to do it. They let me to do it. if I fail is not is not because I didn't have the support, so it is on me

Researcher:

Question 5: What are your perceptions of the effects of the changes you made on Student Success?

Teacher 5:

I think is improving, yes. is the outcome, I think is it needs a longer period of time. It is a process. we have to communicate it down to the students and the change even as we change their habits of learning and maybe something new for some of the students understand better for some of the students take a longer time but I believe that that is in a good direction and is more enjoyable for the students.

Researcher:

Question 6: Describe any barriers you may have encountered while changing your instructional practices?

Teacher 5:

The language barrier, especially the English Learners that I fully understand their situation and how hard it is because I'm in the same boat with them that's one of the one of the challenge and. And second to give out the direct instruction that is an old kind of fashion where you off of teaching. sometimes that can be can be hard and I found it challenging to find the optimal Proportions between direct instruction

Researcher:

Question 7: How clear were the goals communicated by administration when you learned about the change process?

Teacher 5:

Personally for me is very clear so I understand which way we are heading and what kind of changes the administration one from us.

Researcher:

Question 8: What were some key marker events during this change process that were most memorable to you?

Teacher 5:

The support and the faith that the administration puts in the Teachers. I feel like the campus is getting very organized, I have a great support on the technical issues they are solved immediately. everybody as soon as I address something there is always an immediate solution without asking a few. That's it I think I don't know how was before, but I feel like it from the janitors from Joe from librarian down to the office. Everybody's is very supportive

Researcher:

Question 9: What were the three most important advantages of the change process?

Teacher 5:

The first picture I think is very important is the student learning. I feel is the is the strongest and the main focus which I like it because I feel like this why am I here And I found more and more I talk to more and more teachers who are emphasizing on that then we have conversations about how what is our responsibility. If I can give you an example, Ms. Vang I just I just talked to her

and she raised the bar for the students and I asked her why you did that, and she said that because when she went to college and faced those Requirements she felt very unprepared and she don't want her students to have the same feeling. And she also believes that she has to do to do better and I think I think this communication that started the PLCs here sharing with each other instructional strategies Is great because I implemented in in my lessons a lot of things I heard from veteran teachers Hear in in the department and they are Great.

Researcher:

Question 10: What were the three disadvantages that are memorable during the change process?

Teacher 5:

I'm not looking for what what's wrong; I can't tell you.

Researcher:

Question 11: What advice would you give to leaders planning to make system-wide changes?

Teacher 5:

If you if you have a vision And Then go for it and finish it. Make that because especially a principal. you have to know why you're a principal. what would you like to do? And then to be honest, this is not just about, Well, I would like to have a pretty high salary when I retire, I understand that part, but it's very important to have that Vision we just talked about at the very beginning. I would say if you have one is very important than that make it happen.

Interview - Teacher 6

Researcher:

Question 1: Which of Kotter's strategies were used by your principal to support change in instructional delivery?

Teacher 6:

My principal established a sense of urgency, attempted to form a powerful coalition, definitely created a vision and communicated that vision. My principal does an excellent job of empowering others and using others' strengths and celebrates short-term wins. I feel the last two steps of Kotter's steps are still on process. I would like to see these changes stick, become embedded in the culture of the school.

Researcher:

Question 2: In what ways have you changed your instructional/delivery to improve student achievement?

Teacher 6:

I've really listened to my department chair and have taken guidance from our instructional coach. My admin gave us a list of research-based instructional strategies and I try to incorporate those as much as possible.

Researcher:

Question 3: What has been the focus of that change? What strategies were added?

Teacher 6:

Right now the focus is on Math and reclassifying our English Language learners. We don't have a lot of English learners; however, we need to get those that we do have out of the support classes. We added more cloze reading strategies, exit tickets and online assessment through Illuminate.

Researcher:

Question 4: What support did you receive from your Administration to implement the changes with your instructional delivery?

Teacher 6:

My Administration is very supportive. They made sure the entire staff was trained in both PLCs and RCD units of study. Our principal also provided pull-out days for departments to collaborate and complete projects that were important to their RCD process. We are also encouraged to invite admin when we are trying new strategies for feedback.

Researcher:

Question 5: What are your perceptions of the effects of the changes you made on Student Success?

Teacher 6:

My students are responding to immediate feedback and the overall culture shift has improved the classroom environment as well. My perceptions is that the steps my admin have taken are showing some positive forward growth and momentum.

Researcher:

Question 6: Describe any barriers you may have encountered while changing your instructional practices?

Teacher 6:

Some barriers are that in the last three years we have had three different AD/VPs, two different VPs which causes people to have to learn our ways and at that takes time. Also, having some teachers not willing to accept or go along with change. Some of these teachers want others to follow along with them and not try new strategies or change their mindset. This is frustrating when the majority of us are on board and seeing, through evidence, that there is something positive happening.

Researcher:

Question 7: How clear were the goals communicated by administration when you learned about the change process?

Teacher 6:

Very clear. Admin shares out a weekly bulletin as well as weekly email from the principal that includes our mission, vision, school goals and current reality of climate and culture through providing up to the week stats of suspensions and tardies.

Researcher:

Question 8: What were some key marker events during this change process that were most memorable to you?

Teacher 6:

The rewriting/revision process of the mission and vision, all teachers being trained in PLC and RCD by a consultant, and a town hall meeting hosted by our principal due to events happening in the community that affected the students and parents of our school.

Researcher:

Question 9: What were the three most important advantages of the change process?

Teacher 6:

Collaboration, communication and camaraderie.

Researcher:

Question 10: What were the three disadvantages that are memorable during the change process?

Teacher 6:

Teachers not wanting to come onboard, the admin turnover and that's about it.

Researcher:

Question 11: What advice would you give to leaders planning to make system-wide changes?

Teacher 6:

Keep your word. If you say something, do it. Please do not ask people to do things that you don't want to do or haven't already done. Have conversations with people so they know what you are doing and so they don't think someone else is doing what it is you're doing. It's not about us so much anymore, but what is best for our students and climate. Continue to make changes for our students since we have to remember we do it for our students.

The researcher transcribed the recorded interviews, read the responses, and coded the responses into themes. The secondary teachers interviewed had several responses. The themes are located in the table below (see Table 14).

Table 14

Secondary Teacher Interview Themes

Interview Question	Theme
Which of Kotter's strategies were used by your principal to support change in instructional delivery?	<ul style="list-style-type: none"> • All steps • Create a vision • Communicate the vision • Empower others
In what ways have you changed your instructional practice/delivery to improve student achievement?	<ul style="list-style-type: none"> • Curb Direct instruction • PLCs • Suggestions from dept/instructional coach • Hands-on activities • Checking for Understanding
What has been the focus of that change? What strategies were added?	<ul style="list-style-type: none"> • Math Focus • Data-Driven Decision Making • PLCs • Research-based Instructional Strategies • Checking for Understanding
What support did you receive from your administration to implement the change with your instructional delivery?	<ul style="list-style-type: none"> • Administrative support • PLCs • Department Chairs • Pull-out days • Time to collaborate

What are your perceptions of the effects of the changes you made on student success?	<ul style="list-style-type: none"> • Data Driven Instruction • Positive • Teacher Buy-In • Culture shift
Describe any barriers you may have encountered while changing your instructional practice?	<ul style="list-style-type: none"> • Instructional changes • Language barriers (Teacher, student) • Technology
How clear were the goals communicated by administration when you learned about the change process?	<ul style="list-style-type: none"> • Very clear • Goals communicated clearly
What were some key marker events during this change process that were most memorable to you?	<ul style="list-style-type: none"> • Revising the Mission/Vision • PLC process
What were the three most important advantages of the change process?	<ul style="list-style-type: none"> • PLCs/Collaboration • Evidence • Camaraderie
What were the three disadvantages that are memorable during the change process?	<ul style="list-style-type: none"> • Teachers not 'buying-in' • Staff changes • Change
What advice would you give to leaders planning to make system-wide changes?	<ul style="list-style-type: none"> • Listen • Have a vision and follow through • Allowing teachers to have a voice • Encourage teacher leaders

Summary

Chapter 4 reviewed the purpose of the study, the research questions, and the research methodology. Using a mixed-method approach, the researcher provided an analysis of quantitative and qualitative data gathered through electronic surveys, a control group audit, and follow-up oral interviews. The themes that emerges through the analysis of the data are found summarized. Chapter 5 discusses a summary of the study, implications for practice, recommendations for further research, and conclusions.

CHAPTER 5: DISCUSSION

Introduction

The purpose of this study was to apply John Kotter's eight steps to transforming organizational change as a framework to determine if these eight steps have a significant impact on secondary education reform and change sustainability. This study was also designed to identify and describe secondary teachers' perceptions of the effectiveness of Kotter's strategies used to facilitate change in the instructional delivery vehicle (PLC) to improve student achievement. Additionally, the researcher aimed to identify and describe the steps used by administrators that secondary teachers perceived as most important in supporting change and overcoming barriers throughout the change process.

The researcher used a mixed-methods of qualitative and quantitative data, this study was used to understand a research problem. This grounded study was descriptive, relating elements of John Kotter's change theory utilized by principals to change secondary teacher instructional delivery to improve student success. According to Krathwol (2004), descriptive studies often "illuminate parts of our world that we might otherwise not encounter" (p. 32). The purpose of descriptive research, according to Fraenkel and Wallen (2009) and Isaac and Michael (1995), is to collect data and reveal the results. Isaac and Michael (1995) and Creswell (2013) posited that descriptive research is used to thoroughly examine measurable and observable data.

Through an electronic survey, this study sought to understand the perceptions of secondary teachers regarding the effectiveness of the strategies and the effects of change in secondary teacher instructional delivery on student success. The researcher surveyed all participating secondary teachers as well as had the control group, with their departments, complete the Professional Learning Community Audit Survey.

In addition to collecting quantitative data, the researcher conducted six oral interviews. Secondary teachers were asked at the conclusion of the electronic survey if there were willing to participate in a telephone interview. Two secondary teachers were randomly selected from each subgroup to participate in the telephone interview. The information gathered through these interviews provided the researcher with a deeper understanding of the quantitative data collected through the electronic surveys.

Summary of the Study

The following three research questions were the focus of the study:

1. Does John Kotter's eight step change model work to implement systematic change in a secondary educational setting?
2. Must the Eight Strategies of Successful Change be in order as Kotter insists or can they be skipped, continually implemented or be used out of order?
3. What are teachers' perceptions of the effectiveness of Kotter's strategies used by their principal and administrative team to support positive change?

Research Question One

The first question asked, "Does John Kotter's eight step change model work to implement systematic change in a secondary educational setting?" The first question examined the impact of John Kotter's change theory on the success of the vehicle in which it fueled, the Professional Learning Community (PLC) model. Results from the electronic survey and PLC Audit were used to determine the findings.

'Change' as defined by John Kotter is a powerful person on top, or a large enough group from anywhere in the organization, decides the old ways are not working, figures out a change vision, starts acting differently, and enlists others to act differently. If the new actions produce

better results, if the results are communicated and celebrated, and if they are not killed off by the old culture fighting its rear-guard action, new norms will form and new shared values will grow, thus fostering, encouraging and making change happen (Kotter, 2012). Teachers reported the strategies most likely to be utilized by principals were *creating a vision* with a mean score of 3.51, *communicating the vision* with a mean score of 3.50, and *empowering employees* with a mean score of 3.44 (see Table 12). The strategies least likely utilized by principals are anchoring new approaches in the culture (mean score of 3.28) and consolidating gains and producing more change (mean score of 3.34).

The Professional Learning Community Audit identified Math's growth was found in the following areas: norms, data used, instructional strategies, success criterion, next steps, and leadership monitoring. Math showed positive growth in all areas of the PLC Audit. Secondary teachers acknowledged the focus to be Math during the interview process. However, English Language Arts was found to have growth in one area: instructional strategies. This growth is through the Professional Learning Community collaboration and data team process, which can be connected to Kotter's eight steps. Secondary teachers stated they believed the changes made in instructional delivery had a positive effect on student success.

Research Question Two

Question two asked, "Must the Eight Strategies of Successful Change be in order as Kotter insists or can they be skipped, continually implemented or be used out of order?" The intent of this analysis was to closely examine the steps of the change model and their effects on Professional Learning Communities (PLC) as well as the instructional delivery of the secondary teachers to support student success. Each of the strategies were unanimously acknowledged by secondary teachers as implemented to support change in instructional delivery. Kotter's

strategies for implementing successful change are supported throughout the literature as essential (DuFour, 2010; Fullan, 1996, 2010; Kotter, 1996, 2012; Muhammad, 2009, 2015; Peery, 2005). The literature supports the importance of all the strategies in leading successful change and does not quantify one strategy in favor of another. It is notable that all mean scores of each of these strategies are separated by only 0.23. This mean score is evidence of the importance of the use of all the strategies to lead successful change with no data supporting whether the steps may be used out of order; however, there is strong quantitative data that supports the importance of building culture throughout the process. This is evidenced by the strategies the secondary teachers chose as being the most effective in the change process: create a vision (mean score of 3.51), communicating the vision (mean score of 3.50), and empowering employees for broad-based action (mean score of 3.44).

Kotter (1996) believed that a desirable culture would be established *after* the change process. Kotter called this *creating a culture of change*. The secondary teachers agreed that culture was something to build upon from the start of the process, during, and continually. Teachers stated ‘teacher buy-in’ and ‘positive culture’ were imperative to a successful change process.

Research Question Three

Research question three asked, “What are teachers’ perceptions of the effectiveness of Kotter’s strategies used by their principal and administrative team to support positive change?” This question examined the secondary teachers’ perceptions of the effectiveness of Kotter’s when used to support their change in the implementation of research-based instructional practices.

Secondary teachers expressed the value in the use of specific strategies to assist them in overcoming their resistance of changing their instructional practice. The emphasis and implementation of Professional Learning Communities provided not only camaraderie to dissuade isolation, but also provide collaborative opportunities for teachers and administrators to work together. This collaborative effort facilitated conversations wrapped around instructional practice and the impact of those practices on student success. The teachers also expressed the climate of the school appeared to be adapting to be more supportive of change to meet the needs of students rather than the needs of teachers as stated by this teacher, “It is not about us so much anymore, but what is best for our students... remember, we do it for our students.”

Her Story – The Researcher’s Connection

The researcher was not a teacher by craft, meaning she did not attend a University program intended to prepare its students specifically to teach in the educational setting. The researcher was fortunate to have served two neighboring unified school districts in her community. She is from a small rural city and was born and raised in that community. She began as an English teacher at a very diverse HS from 2001 – 2010 where the researcher was also an Aspiring Administrator. The researcher’s teaching repertoire in the nine years she taught at the high school ranged from English Language Development, where she taught Newcomers to Honor’s English courses. Although the researcher successfully completed Advanced Placement ELA training, she did not teach that course. The researcher was certified in Explicit Direct Instruction (EDI) and learned daily.

In 2010 – 2011, the researcher became an Assistant Principal (AP) at a different high school in the same district. She learned time management tools and techniques that are still used today. Under her principal’s guidance, within one academic school year, she was chosen to

become the Site Administrator (Interim Principal) at a small CTE school with three pathways: Automotive, Technology/Gaming, and Business. Collectively, the students, parents, and staff accomplished a six-year WASC accreditation. This was a new experience for her where she felt as if she was swimming and didn't drown. It was an enlightening experience with lots of growth and networking opportunities. After the prior principal returned from a short stint at the District Office Language Development Office, the researcher was pushed back into the assistant principal world.

In 2012 – 2013, the researcher served as Assistant Principal of Curriculum and Community Outreach at another high school under a first year principal. This principal was an assistant principal at the site where the researcher was a teacher, a colleague as assistant principal on the same team as the researcher and the next site, and now he was principal at the new assignment. Again, this new assignment's focused was on the WASC process as well as building capacity at the site level.

In 2013, she became the Principal at a large elementary school. The reason for the jump from secondary to elementary was 1) she wanted to lead at the Principal level and 2) there were four young men leading at the four comprehensive high schools with a long line of deserving prospects in between vying for a comprehensive high school principal position. It was an avenue to accomplish a goal so the researcher took advantage of the opportunity. This proved to be a great experience as well as career choice. The researcher needed this shift in order to experience the full curricular spectrum, from TK to 12. She had a secondary perspective to share with the elementary site. Such as, many secondary teachers are wondering what is going wrong for our students at the primary level. Why are the students not coming to high school at grade level or lacking the appropriate tools in their toolbox (skillset)?

After a couple of successful years as the elementary school's principal, there was an opening for a comprehensive high school principal at a neighboring, yet smaller unified school district. The researcher put her hat in and low and behold she was chosen. The researcher has been at this high school since 2015.

As mentioned earlier, education was not the researcher's first career. She has an extensive private industry background. She initially started her career in Counseling directly out of college. In college, she majored in Psychology with a minor in History. She dove head-first into Counseling by running two teen clinics in her community. This type of work was interesting and extremely difficult. The researcher learned how to talk to teens and parents of teens. She was exposed to trainings and learned how to train a staff through the coaches of coaches' design. Her breaking point was having a conversation with an 11-year-old's parents informing them that their "baby" was going to have a baby. Soon after that, the researcher changed professions.

With no background in Marketing, the researcher secured a position with a company that sold molding products to Home Depot exclusively. She can't say she was the best but she can say that because of these positions, she knows she can learn how to do anything. In the Marketing world, she learned the importance of great customer service skills, effective listening and communication skills, and how to take instructions. The researcher also learned how a company runs, how products are marketed, and how media can be used to increase sales. This experience has allowed the researcher to learn about structural molding, miter saws and other industrial machinery.

After years of working with small companies in the counseling and marketing industries, the researcher pursued a career in banking where she was able to utilize her college education in

lieu of experience. Because she had two small children at home, she was not able to pursue her passion for teaching. She could not afford to student teach for the researcher was the only provider in the household. The researcher enjoyed the banking environment where her colleagues became family. This familial environment was something that the researcher was able to thrive in and because of that, was at that bank location for seven or eight years. She began her career as a Customer Service Representative and worked her way to a Lead, Manager and then Section Manager which allowed her to become an Officer of the Bank. During this time, she was traveling to Seattle to learn new systems for an impending merger. The researcher was tasked with training the Customer Service Representatives a new computer system the company was converting to. With the merger came the moving of the entire department to town in Southern California. She was unwilling to relocate her children and leave her support system behind. She did not make the move and was subsequently laid off with over 400 other bank employees.

Soon after the mass lay off, the researcher joined another banking institution, but this time, at the branch level. While working in the branch, she had a repeat customer who happened to be a Board Member on a unified school board. The Trustee would come into the bank weekly and chat with the researcher. During one of their chats, the Trustee asked the researcher if she had a bachelor's degree. The researcher informed the Board Member that as a matter of fact, she did. From that day on, whenever The Trustee would visit the branch, she would make a familiar statement, the researcher "should be a teacher... we need you to teach... kids need to see people that look like them that are successful." The researcher told the Board member that teaching was what she has always wanted to do but because she was the sole provider for herself and two children, there was no way she could afford to student- teach and not work. That is when the

Trustee informed the researcher about the IMPACT program at the County Office of Education (EOC). Immediately, the researcher went to the COE and found out what teaching positions she qualified for and went to the unified school district's Human Resources department to pursue a teaching position. The researcher interviewed at a High School where she endured three interviews. The Principal thought she looked too young and wouldn't be able to manage a classroom that had eight different teachers prior to her December mid-year arrival. To her benefit, the English Department Chair had been an administrator at the local high school the researcher attended and assured the Principal that she would be just fine.

In 2007, the researcher became disillusioned with the teaching profession for she was continually teaching remedial classes under the guise that it was the demographic she excelled with and had yet to be introduced to self-motivated students. She decided to pursue another life-long dream and that was to go into law enforcement. In her seventh year of teaching, the researcher left teaching and became a Probation Officer. She was assigned to the adult caseload in the Domestic Violence Unit. When dealing with adult probation, there is no room for discretionary judgment. It is purely black and white. If a probationer does not complete their program or court order, the probationer receives 30 days in jail, then 60, then 90 and up to 120 days for violations. While in the DV Unit, the researcher was assigned the caseload located in two distinct zip codes. This assignment became a hardship for her for the neighborhood where she grew up and the high school in which she taught were located in the zip codes assigned. The researcher was servicing childhood friends, prior classmates, and old neighbors in this caseload and began to see former students coming to me from the other area. This became extremely difficult for her and she prayed for guidance. The researcher felt as if her leadership was meant for a more preventative way and not to continue sending former students to

jail. Things always tend to work out through prayer for she received a phone call from her former Assistant Principal at the high school she left stating they had not filled her position and would like to have her back. She was ecstatic. Probation received her two week notice the next day and from that moment on, she knew and would walk in her purpose.

The researcher's purpose as an educator and her vast experiences in private industry drive this study and her perceptions of the findings and conclusions. There were times, when as an elementary administrator, for example, when she was leading from the gut. She found herself making leadership decisions based off of what "felt good" to her or "felt right" when planning for a desired outcome. The researcher had no idea there was evidence and research supporting the steps she was taking inherently. She had no idea that *building capacity* or *forming a guiding coalition* had an actual 'name' and were strategies in a change theory supported by research and evidence. She was simply putting together a team of people who displayed leadership qualities and influence to assist her in her purpose. This phenomenon is what fuels and peaks her interest in organizational leadership change theories such as John Kotter's Eight Steps of Change model.

Implications for Practice

While Kotter (1996) does not propose ranking or prioritizing strategies, secondary teachers agree that there is power in driving successful change by creating a vision. As a principal, I feel creating a sense of urgency if a more effective strategy while teachers felt the communication of the vision was more effective. Following this strategy, empowering broad-based action was recognized by teachers as most highly effective. Kotter described empowering broad-based action as the leader's ability to provide support for members of the organization to learn the skills necessary for confident and consistent implementation of the desired change. In

order for teachers to successfully change practices they require support, the opportunity to collaborate, and time to implement the desired strategies.

The following are the researcher's suggestions for future practice: it is recommended that districts provide professional development to their principals in disaggregating and analyzing data. Principals must be proficient in the software necessary to build reports to share with staff and to use as evidence for the change process. Principals should continue (begin) to implement Professional Learning Communities (PLCs) to support collaboration amongst teachers and their peers. This includes vertical articulation between grade levels, including feeder elementary sites. The collaboration between grade levels informs educators of the essential prerequisite skillset needed for students moving onto the next level. PLCs can foster an environment of learning for students and teachers. PLCs provide necessary collaborative time for teachers to share and evaluate the effectiveness of research-based instructional practices along with evaluating student achievement using data. School districts (district administration) and schools (site administration) must develop a clear vision and strategy prior to implementing change. There is a tendency for an organization to direct too many initiatives or take on new initiative prematurely. It is also helpful for principals to establish clear professional development plans and support systems based on the vision of the school to build upon their teachers' learning of research-based instructional strategies. Effectively implemented research-based instructional strategies can support student learning. Lastly, current and future school principals must train in the theories and processes of leading change. Administrative credentialing programs would benefit from considering the implementation of course study in leading organizational change. The use of multiple strategies is essential in leading successful change in organizations can provide school leaders with knowledge to be proactive.

Recommendations for Further Research

The goal is to use the findings of this study to make adjustments to the PLC implementation on the comprehensive high school campuses in the Unified School District. The findings and conclusions from this study indicate the following recommendations for further study starting with a research study of principals to discover the elements of Kotter's strategies used and not used by principals in leading change on success in instructional practice. It would be beneficial to conduct a comparative study examining teacher behaviors to identify differences in research-based instructional practicing in high performing and underperforming classrooms including classroom observations (Math). Initiating a study identifying the barriers to sustainable change in a secondary school setting is recommended and developing a research study identifying principal and teacher approaches to overcoming barriers in changing instructional practice. Lastly, conduct an in-depth action research using a process for intentional implementation of each of Kotter's strategies to lead change in secondary teacher instructional practice for the purpose of determining the impact on student success (Math).

Summary

This study was conducted to determine the effectiveness of John Kotter's Eight Step Change Model on student success through teachers' participation in PLCs and instructional practices. Results from teacher surveys and a PLC Audit were used to analyze the impact of Kotter's strategies on student achievement. The study also examined secondary teachers' perceptions of the effectiveness of Kotter's strategies used by their principal and administrative team to support change with instructional practice. The results proved to be inconsistent as the academic growth performance of the participating schools did not coordinate with the level of growth identified on the PLC Audit in Math.

Secondary teachers need to provide the best instruction using the strongest instructional strategies to ensure students are mastering the Common Core Standards in English Language Arts and Math. If schools allow the age-old tradition of isolation for teachers, instructional practice will not grow and evolve to meet the needs of all students, who are ever-changing. Instructional practices will continue to be private practice where students who are receiving the “right” instruction will succeed. Principals have the professional responsibility to provide support for all teachers to develop the best instructional practices and build their research-based instructional repertoire. This requires providing the time, professional development, and ongoing support. Principals may accomplish this through establishing an appropriate sense of urgency to create the ‘why’ for change. Principals can then, through creating and communicating their vision and strategy for carrying this vision out, gather together a guiding coalition for the purpose of assisting their organization forward in the change initiative.

Empowering teachers with the necessary skills and knowledge to confidently, and with fidelity, implement the desired changes will generate success. Leaders knowledgeable in strategies for leading successful change can take those successes and strategically produce more change. They will be cognizant of and resistant to new initiatives their teams are not ready for. Leaders will also provide the necessary feedback and accountability for teachers until the changes are embedded within the culture of the school. To effectively lead change, principals will benefit from better understanding and implementing strategies identified as essential in leading successful change in the secondary school setting.

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APPENDIX A

Teacher Survey

The survey is comprised of 51 questions intended to help the site principal in their decision-making process. The survey covers four areas of focus:

1. Environment
2. Professional development
3. School culture
4. School environment and support.

Your participation in this survey is voluntary, but is strongly recommended. It is important to the administrative team that every staff member participates in this survey and add their voice in the site's decision-making process. When answering the questions, please select the answer that you believe most accurately reflects your opinion.

High School Survey

		Not at all	Small extent	Moderate extent	Great extent	Very great extent	I don't know this	No answer
Environment: Mark the box that best answers the questions below								
1	There is a clear academic vision for this school.							
2	The school has high standards for student's academic achievement.							
3	The school is safe.							
4	The school is a caring and nurturing place.							
5	The school looks and feels like a place where learning occurs.							
6	The school office is well run.							

7	The school facilities are clean and well maintained.							
8	Overall, the school is a good place to learn.							
9	The site administration encourages openness and a relaxed school environment.							
10	The site administration promotes open and informal atmosphere among the staff.							
Support: Mark the box that best answers the questions below								
1	The site administration at this school are inspiring leaders.							
2	I feel my contributions at this school are important.							
3	The site administration at this school encourages collaboration among teachers to increase student learning.							
4	The site administration takes into account the feedback I give.							
5	New teachers receive the support they need to be successful.							
6	I feel respected by the school administrative team.							
7	I feel supported by the school administrative team.							
8	Our administrative team is committed to finding fair solutions to problems.							
9	The site administration provides clear, consistent direction to the faculty.							
10	The site administration bases teacher evaluation on adequate classroom observation.							

11	The site administration supports teachers in student discipline cases.							
12	The site administration praises the achievements of individual teachers.							
13	The site administration supports teachers in their professional judgements.							
14	The site administration welcomes constructive criticism and benefits from it.							
15	The site administration provides for meaningful faculty involvement in school policy development.							

Professional Development								
1	Professional development at this school is tailored to my student's needs.							
2	Professional development at this school for teachers is aligned to school goals.							
3	Professional development at this school for teachers is aligned to their curriculum.							
4	Learning from other teachers at this school has improved my performance in the classroom.							
5	School administrators encourage my career development.							
6	The site administration assists teachers to increase competence and success.							
7	The site administration organizes faculty meetings							

	so they are meaningful and of value to the teachers							
--	---	--	--	--	--	--	--	--

		Not at all	Small extent	Moderate extent	Great extent	Very great extent	I don't know this	No answer
Culture								
1	The site administration at this school let staff know what is expected of them.							
2	The site administration makes adjustments when things aren't working at this school.							
3	I have an opportunity to participate in leadership roles at this school.							
4	The site administration invites teachers to play a meaningful role in making decisions for this school.							
5	The site administration at this school gives me regular and helpful feedback about my teaching.							
6	The site administration has a good rapport with the staff.							
7	The site administration places the learning needs of students ahead of other interests.							
8	The site administration keeps staff informed of developments, changes and progress toward the resolution of staff issues.							
9	The site administration promotes a collaborative culture among staff.							
10	The site administration fosters a professional learning community among staff.							

11	The site administration models respect for others in interactions with adults and students.							
12	The site administration emphasizes the expectation that all students will meet content and performance standards.							
13	The site administration includes all stakeholders in a process of continuous improvement							
14	The site administration uses data to shape and revise plans, programs, and activities that advance the vision.							
15	The site administration uses authority in a firm, consistent, but compassionate manner.							
16	The site administration genuinely supports teachers in fostering pupil achievement.							
17	The site administration genuinely supports teachers in fostering pupil achievement.							
18	The site administration fosters high faculty morale.							
19	The site administration supports teachers in confrontations with parents.							

APPENDIX B

Demographic Survey

When attempting to implement transformational change in organizations many leaders will turn to the work of John Kotter as a guide. John Kotter's change model includes eight steps, including: establish a sense of urgency, create a guiding coalition, develop a vision and strategy, communicate the change vision, empower broad-based action, generate short-term wins, consolidate gains to produce more change and anchor change in the organizational culture. The purpose of this survey is to measure the effectiveness of Kotter's change model implementation at your school site and to determine teacher's perception of Site Administration's performance of the steps mentioned to complete the process of change on your campus.

Instructions: Please bubble in the answer that you believe to be appropriate for the question asked. Please bubble in your answer completely.

Instructions: Please choose the most appropriate answer to each question. Please bubble in your answer completely.

Demographic Survey					
1. What is your gender?	<input type="radio"/> Male	<input type="radio"/> Female			
2. How long have you been a teacher at your site?	<input type="radio"/> 1-3 years	<input type="radio"/> 4-6 years	<input type="radio"/> 7-10 years	<input type="radio"/> 11-15 years	<input type="radio"/> 16 years or more
3. What is your age-group?	<input type="radio"/> 23 – 34 Yrs. old	<input type="radio"/> 35 – 44 Yrs. old	<input type="radio"/> 45 – 54 Yrs. old	<input type="radio"/> 55 – 65 Yrs. old	<input type="radio"/> 66 or older
4. What is the highest level of education you have completed?	<input type="radio"/> Trade or Vocational Training	<input type="radio"/> Bachelor's Degree	<input type="radio"/> Master's Degree	<input type="radio"/> Doctoral Degree	
5. Do you have an Administrative Credential?	<input type="radio"/> Yes	<input type="radio"/> No			
6. What is your ethnicity? Please check all that apply.	<input type="radio"/> White	<input type="radio"/> Hispanic	<input type="radio"/> Black/ African American	<input type="radio"/> Asian	<input type="radio"/> Other

APPENDIX C

Professional Learning Community Audit

Office of Secondary Education PLC Audit

PLC Rubric	Emerging	Progressing	Mostly Effective	Highly Effective	Notes
Norms	<input type="checkbox"/> PLC Team has newly developed norms and roles.	<input type="checkbox"/> PLC Team developed norms and roles, but are not always referenced.	<input type="checkbox"/> PLC team members have roles and norms are referenced at the beginning of the meeting.	<input type="checkbox"/> Each member of the team has a role and norms are referenced at the beginning of the meeting.	
Data Used	<input type="checkbox"/> Team uses little/late data. No student work samples. Data is not disaggregated or prepared ahead of time.	<input type="checkbox"/> Teams uses current data. No student work samples. Time in PLC is split between looking at data and analyzing areas to inform instruction.	<input type="checkbox"/> Teams use weekly data, some student work samples to support formative assessment data, less time looking at data and more analyzing areas to inform instruction. Data is disaggregated	<input type="checkbox"/> Teams seamlessly uses current/relevant data. Student work samples support formative/summative assessments. More time discussing instruction and data analysis. Response to intervention	
Instructional Strategies *Instruction, or curriculum standards and resources or assessments	<input type="checkbox"/> The team identified the need to spend more time focused on the *elements that support the instructional process. The strategy does not identify rigor. Only whole group	<input type="checkbox"/> The team spent 1/3 time focused on *elements that support the instruction. Team members somewhat communicate strategies or intervention necessary for highest quality of	<input type="checkbox"/> The team spent 1/2 time on *elements that support the instructional process. Team discusses a strategy or intervention effectively so others have high quality of implementation.	<input type="checkbox"/> The team spent 2/3 time focused on *elements that support the instructional process. Members discuss a strategy and intervention conveys the steps for the highest quality of implementation of that strategy. The strategy used is directly connected	

	instruction is addressed.	implementation. Team hasn't connected strategies to level rigor. It is unknown if strategies are targeted to differentiated student groups' needs.	The strategy used is connected to the target level of content and rigor. Strategies are targeted for 2 distinct, differentiated student groups' needs.	to the target level of content and rigor. Strategies are targeted to 3 distinct, student groups' needs.	
Success Criteria	<input type="checkbox"/> There is an emerging vision of the successful use of the strategy but it is not clearly communicated or understood by the entire team. There is some evidence that at least 1 of the following indicators is cited in the criteria: language of the standards, rigor, and implementation.	<input type="checkbox"/> The team understands the vision of the successful use of the strategy . It is beginning to be conceived and communicated by the team. The language used in the success criteria combines at least 2 of the following three indicators: language of the standards, rigor, and implementation.	<input type="checkbox"/> The vision of the successful use of the strategy is conceived and communicated by the team so that an outside observer would mostly know what to expect. The language used in the success criteria combines language of the standards, rigor, and implementation.	<input type="checkbox"/> The vision of the successful use of the strategy is clearly conceived and communicated by the team so that an outside observer would know what to expect and easily observed. The language used in the success criteria successfully combines the language of the standards, rigor, and implementation.	
Next Steps	<input type="checkbox"/> The team doesn't always create an agenda that is an extension from the current meeting. No indications of next steps for	<input type="checkbox"/> The team's agenda for the next meeting is a weak an extension of the current meeting, and next steps for the team.	<input type="checkbox"/> As a result of the meeting, the agenda for the next meeting indicates actionable future steps for most members of the team.	<input type="checkbox"/> As a result of the meeting, an achievable agenda is made for the next meeting, indicating actionable future steps for each member of the team.	

	<p>members of the team.</p> <p>There is some evidence that members have discussed part of the implementation, next strategies, or planned practices. There is discussion of evidence of student learning they intend to bring to the next meeting.</p>	<p>Some members discuss the implementation strategies and practices.</p> <p>Some members discuss possible evidence of student learning they intend to bring to the next meeting.</p>	<p>Most members discuss the implementation of agreed upon next strategies or planned practices,</p> <p>Most members discuss evidence of student learning they intend to bring to the next meeting.</p>	<p>All members discuss implementation of agreed upon next strategies or planned practices.</p> <p>Each member discusses the appropriate evidence of student learning they intend to bring to the next meeting.</p>	
Leadership Monitoring	<p><input type="checkbox"/> The team leader meets once a year with the administrator.</p> <p>The administrator does not follow up with formative “walk-throughs” to confirm or disconfirm evidence that the strategy has been implemented and the success criteria are observed.</p> <p>The meeting is not timely,</p>	<p><input type="checkbox"/> A team leader meets with the administrator at least twice a year, to convey strategies and/or success criteria.</p> <p>The administrator follow up with formative “walk-throughs” to confirm or disconfirm evidence that the strategy has been implemented after the meeting.</p>	<p><input type="checkbox"/> A team leader meets with the administrator to convey strategies and success criteria each quarter.</p> <p>The administrator follows up with formative “walk-throughs” to confirm or disconfirm evidence that the strategy has been implemented.</p> <p>The success criteria are mostly (at least ½) observed.</p>	<p><input type="checkbox"/> A team leader meets with the administrator to successfully and articulately convey strategies and success criteria each quarter.</p> <p>The administrator follows up with formative “walk-throughs” to confirm or disconfirm evidence that the strategy has been implemented.</p> <p>The success criteria are mostly (at least 3/4) observed.</p> <p>The meeting is timely, focused and effective.</p>	

	focused or effective.	The success criteria are somewhat (at least 1/4) observed. The meeting is somewhat timely, focused, and effective.	The meeting is timely, focused, and effective.		
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Process for PLC Audit

PLC Team Responsibility:

Discuss your PLC team's placement, emerging, progressing, mostly effective, highly effective in the following areas: Norms, Data Use, Instruction Strategies, Success Criteria, and Next Steps. The rubric is in place to help the school site develop strategic areas of training for PLC teams. This tool is not to be used part of the evaluation process of an individual teacher. After the PLC rubric is discussed and consequence is made among the team it is submitted to the administrator overseeing the PLC team. The PLC rubric will be discussed at the end of year meeting.

Administration Responsibility:

After the PLC teams has submitted the rubric meet with the PLC to discuss the rubric. Together fill out the Leadership Monitoring rubric. Meet with the PLC team and discuss specific goals for next year move the PLC team toward Highly Effective in all areas. Bring PLC rubrics and specific goals to meeting with Secondary Ed. Discuss next steps for training and support for the following year.

For more information on this survey and/or the compiled results, please contact

Francine M. Baird at Francine.Baird@eagles.cui.edu.

APPENDIX D

NIH Certificate

