Spring 1-27-2017

The Perceptions of High School Principals in Three Central and Northern California School Districts on the Implementation of Restorative Practices and Resistance to Change Through the Theoretical Lens of Kotter's Eight-Stage Change Model

Dena M. Fiori
Brandman University, dfiori@mail.brandman.edu

The Perceptions of High School Principals in Three Central and Northern California School Districts on the Implementation of Restorative Practices and Resistance to Change Through the Theoretical Lens of Kotter's Eight-Stage Change Model

A Dissertation by

Dena Michelle Fiori

Brandman University

Irvine, California

School of Education

Submitted in partial fulfillment of the requirements for the degree of

Doctor of Education in Organizational Leadership

January 2017

Committee in charge:

Doug DeVore, Ed.D., Committee Chair

Alan Enomoto, Ed.D.

Anne Sharp, Ed.D.

BRANDMAN UNIVERSITY

Chapman University System

Doctor of Education in Organizational Leadership

The dissertation of Dena Michelle Fiori is approved.

_____, Dissertation Chair

Doug DeVore, Ed.D.

_____, Committee Member

Alan Enomoto, Ed.D.

_____, Committee Member

Anne Sharp, Ed.D.

_____, Associate Dean

January 2017

The Perceptions of High School Principals in Three Central and Northern California School Districts on the Implementation of Restorative Practices and Resistance to Change Through the Theoretical Lens of Kotter's Eight-Stage Change Model

by Dena Michelle Fiori

ACKNOWLEDGEMENTS

Every time I sat down to write this dissertation I would say the same thing, “Lord I can’t do this without you, in fact I won’t.” Every time you showed up and showed out! For that reason, the first and most important acknowledgement goes to my Lord and Savior Jesus Christ. This dissertation would have meant nothing if I did it through my own strength.

To my husband and the love of my life, Tony. Thank you for the countless hours of sacrifice you endured during this journey. There is no way I could have completed this dissertation without your love and unwavering faith that I could do this. I am so thankful that God gave me you to do life with, especially as we celebrate our 20th wedding anniversary this month. I dedicate this dissertation to you and our boys.

To my two wonderful sons, Noah and Nino. You have both been so patient and kind throughout this journey. You showed me laughter, love, and compassion when I was stressed and tired. I hope that watching me go through this has taught you both that you can do absolutely “all things through Christ who gives you strength.”

To my dissertation chair, Dr. Doug DeVore, thank you for agreeing to partner with me in this journey. Your humor, kindness, and optimism provided me with the confidence that I could cross the finish line. I appreciate every phone call, email, text message, and Adobe connect session you took the time to participate in. Thank you for truly being the best choice I could have made as my chair.

To my committee member, Dr. Alan Enomoto, thank you for your constant reminders that “once you begin, you have to keep going.” You have a special place in the heart of the Visalia Gammas and we are grateful for all you have taught us.

To my committee member, Dr. Anne Sharp, I will never forget the day in your office when you told me I could "totally get a doctorate." Those words gave me the confidence to apply for this program. Thank you for always believing in me, especially when I didn't believe in myself.

To the Visalia Gammas, thank you for your friendship and support during our coursework, cohort meetings, and immersions together. The memories I have of laughing until I cried, food, fun, and girls' night out with Daniel will always remain a part of this journey I cherish. We are all Gamma Strong!

To my dearest friend, Andi, thank you for being my prayer warrior through this entire journey. I could not have made it this far without your devotion, friendship, and intercessory prayers.

Finally, to my extended family and friends, your support throughout my journey did not go unnoticed. Thank you for sticking with me during the most academically challenging time of my life. I love you all.

ABSTRACT

The Perceptions of High School Principals in Three Central and Northern California School Districts on the Implementation of Restorative Practices and Resistance to Change Through the Theoretical Lens of Kotter's Eight-Stage Change Model

by Dena Michelle Fiori

Purpose: The purpose of this qualitative case study was to explore and describe the perceptions of high school principals in three Central and Northern California school districts on the implementation of restorative practices and resistance to change through the theoretical lens of Kotter's eight-stage change model.
Methodology: For the purpose of this study, the case study method was used to answer descriptive and explanatory questions that focus on the what, why, and how the research occurred during the implementation of restorative practices (Yin, 2011). The purpose of conducting a descriptive case study was to understand further, via interviews, the perspectives of high school principals in order to capture the shared experiences in the implementation of restorative practices using Kotter's eight-stage change model as the theoretical lens.
Findings: Developing a team of staff members with high affability, creating a vision, building relationships, changing the school culture, and celebrating staff successes during implementation was significant to participants. Increased communication to staff and increased offerings of trainings throughout the year supporting implementation was necessary. Participants believed the reason for implementation was to reduce suspension and expulsion rates. A lack of consequences for students, refusal to participate in restorative practices, a lack of communication and confusion of expectations, and viewing it as just another program was the resistance participants met during implementation.
Conclusions: The results of this study indicate the need to create a team, hire additional staff for this team, and train this team 1 year prior to the implementation year. Results also indicate the need to develop a monthly training schedule for staff and to create a curriculum map for classroom implementation directly related to restorative practices. In order to embrace resistance met, developing a restorative discipline policy addressing the issues of consequences and sustainability is needed. To maintain momentum, opportunities to publicly celebrate staff successes related to participation in a restorative practice is also needed.
Recommendations: Continued research must include a replication of this study with school districts in Southern California implementing restorative practices. Additionally, a comparative study regarding the perceptions of high school principals versus elementary school principals during implementation should be conducted. Further studies focusing on student resistance to restorative practices as well as school districts' resistance to implementing restorative practices are recommended. Finally, this study should be replicated in 5 years to determine if sustainability occurred.

TABLE OF CONTENTS

Page

LIST OF TABLES

LIST OF FIGURES

CHAPTER I: INTRODUCTION

Year after year, students in the United States continue to fall further and further behind academically in comparison to other countries such as China, Germany, and India (Peterson, 2014). This global issue of academic disparity can also be compared between states in the United States. According to Richie Bernardo (2015) in his article, "2015's States with the Best and Worst School Systems," California ranked 43rd in the country while Massachusetts and Colorado rank first and second. With the implementation of No Child Left Behind (NCLB) in 2001, the hope was to close this achievement gap in the United States between students of different ethnic and socioeconomic groups. The focus of NCLB was primarily on state-mandated testing as the accountability measures for each school district. NCLB did not take into consideration the social-emotional factors or climate and culture factors that can contribute to this gap between students of all ethnicities.

As a result, NCLB fell short of its initiative to have all students in all states achieve at the proficiency level on state-mandated tests by the 2013-2014 school year (Klein, 2015). In order to remain competitive to lead the world in innovation, America would need to have an internationally competitive education system (Bidwell, 2014). This ignited the quest for a new system that would not only measure the academic growth of a student but would also look at the social-emotional factors and culture and climate factors that contribute as well. The goal was to create a new accountability system that would transition from NCLB to a system that would provide real-world experiences for students in all states in order to ensure students would graduate high school college and career ready (Common Core State Standards Initiative, 2016a). The secondary goal was

to create a system where the standards from state to state would ensure calibration for all students nationwide.

In 2009, this lack of standardization between states, through NCLB, led to the development of what is now known as the Common Core State Standards (CCSS; Common Core State Standards Initiative, 2016b). The CCSS were created with the mission to bridge the gap amongst states, developing common standards in both English and math, therefore making it easier for students to move from state to state (California Department of Education [CDE], 2015a). Forty-two of the 50 states adopted the CCSS as the state standards for English and math. Planned implementation of CCSS would occur in the 2015-2016 academic year (Common Core State Standards Initiative, 2016b).

In 2013, eight school districts in California decided to sign the California Office to Reform Education (CORE) waiver committing to implementation of the CCSS prior to the 2015-2016 mandatory implementation school year (U.S. Department of Education, 2013a, pp. 4-11). This CORE waiver supported not only the implementation of the CCSS but consisted of the School Quality Improvement System which focused on three accountability factors in the areas of academics, social-emotional factors, and culture and climate factors. This system of measurement is known as the School Quality Improvement Index (SQII; U.S. Department of Education, 2013a, p. 84). In order to participate in the CORE waiver, these eight districts agreed not only to implement CCSS prior to the 2015-2016 school year but also to put systems in place to support the social-emotional factors and the culture and climate factors within their districts (U.S. Department of Education, 2013a). Three of these districts in Northern California chose

to implement restorative practices as their accountability measure which focused on the social-emotional factors and culture and climate factors of the SQII.

Background

History of Restorative Practices in Schools

Restorative practices is relatively new to the education system in the United States. Restorative practices evolved from restorative justice that occurred via the criminal justice system in the early 1970s in Ontario, Canada (VORP Central Valley, 2015). The process known as the Victim Offender Reconciliation Program (VORP) was created to bring the victim and offender together in order to discover alternative ways to repair harm versus imposing a fine or jail time in order to achieve reconciliation (Hopkins, 2004, p. 16). In 1982, Ron Klassen, a professor at Fresno Pacific University, began VORP in the Central Valley of California (Claasen & Claasen, 2008). This process has been successful in the criminal justice system since its induction. However, restorative justice measures such as VORP are not applicable to use in the educational system. School systems historically relied on punitive measures as a way to discipline students. These punitive measures (e.g., suspension and expulsion) tend to exclude students from the discipline process instead of including them in the outcome. These punitive measures also do not support deep behavior changes nor give the student an opportunity for a fresh start (Thorsborne & Blood, 2013, p. 28). This system of swift, harsh, and immediate removal was developed in the early 1990s known as "zero tolerance" (Gielten, 2016). The hope of zero tolerance was to remove students immediately who posed the most threat to the school, therefore making campuses safer. However, zero-tolerance polices did not make school campuses safer but created a new

problem by excluding students primarily from African American and Hispanic backgrounds (Kang-Brown, Trone, Fratello, & Daftary-Kapur, 2013). Research also shows that academic achievement is adversely affected in students who are excluded or disconnected from school (Kang-Brown et al., 2013, p. 5). This disproportionality amongst ethnic groups encouraged school districts to move away from zero tolerance and look into a process where students would feel engaged and connected to their school community. In order to repair harm and make things as right as possible, schools would place their sole interest on restoring relationships versus restitution for harm done. Restorative practices is a paradigm shift from doing things "to" a student (zero tolerance) to doing things "with" a student, a restorative approach (Costello, Wachtel, & Wachtel, 2009, p. 50). Restorative practices creates an environment where the adults on campus have high expectations for students yet offer high support in the process (Costello et al., 2009). This approach creates trust and connection to adults in the school environment (Saufler, 2011). Restorative practices, such as positive relationships, restorative circles, restorative chats, class meetings, and affect labeling, help build this trust and connection (Smith, Fisher, & Frey, 2015). These practices focus on the social-emotional well-being of all stakeholders on the school campus.

Social-Emotional Learning

Social-emotional learning occurs when processes are put in place via systems like restorative practices. According to the Association for Supervision and Curriculum Development ([ASCD], 2012), "Social and Emotional learning helps children develop awareness of their emotions and better manage them as well as use social awareness and interpersonal skills to maintain positive relationships" (p. 11). This can also be

confirmed in the work by Daniel Goleman on emotional intelligence. In 1995, in his book, *Emotional Intelligence* (EQ) Daniel Goleman defined emotional intelligence as the ability to identify and manage one's emotions and the emotions of others (Goleman, 1995, 2006). Four skills make up emotional intelligence: self-awareness, self-management, social awareness, and relationship management (Bradberry & Greaves, 2009, p. 24). These four EQ skills consist of two groups, personal competencies, self-awareness and self-management, which focus on the ability to manage one's own emotions and social competencies, social awareness, and relationship management, which focus on the ability to understand others (Bradberry & Greaves, 2009, p. 24). These EQ skills are critical to the social-emotional well-being of all stakeholders in the school district. The importance of these social-emotional factors has become a key component of the accountability system within the CCSS. This accountability system, known as the SQII, measures the noncognitive social-emotional factors of students as well as academics and culture and climate factors (U.S. Department of Education, 2013a, p. 86). These changes to the CCSS allow an opportunity for organizations to partner with schools in order to increase social-emotional learning for all stakeholders. The Collaborative for Academic, Social, and Emotional Learning ([CASEL], 2015b) mission is to make evidence-based social-emotional learning (SEL) an integral part of education from preschool through high school. As the changes in CCSS require emotional recognition in text as well as self-management for long periods of focus, the need for SEL has increased in the school system (Elias, 2014, p. 60). According to CASEL (2015c), these SEL skills are self-awareness, self-management, social-awareness, relationship skills, and responsible decision making. The SEL skills suggested by

CASEL mirror the EQ skills needed for emotional intelligence. In order for all stakeholders to adequately obtain this social-emotional learning, the school culture and climate must be defined and assessed.

School Culture and Climate

School climate refers to the ability to feel safe both physically and psychologically in the school community (Smith et al., 2015, p. 15). Chuck Saufler (2011), in his article, "School Climate, the Brain, and Connection to School," stated that students who are connected to school are less likely to engage in a wide range of high-risk behaviors and are more likely to be more successful academically and graduate from high school. Early definitions of school culture and climate span from the spirit or attitude in a school to a common set of expectations determined by a group of people who have spent a significant amount of time together (Gruenert, 2008). Brubaker and Zimmerman (2009) defined culture as "the values and behaviors that are considered appropriate if not honorable in the organization" (pp. 9-10). The way a school feels to a student and the adults who work there is critical to the success of all stakeholders. Taking a restorative approach to school climate and culture produces happier, more cooperative, academically successful students who are more likely to make positive changes in their behavior (Saufler, 2011). The climate and culture of a school determines the connectivity each stakeholder believes he or she has to the community.

Change Theories

In order to understand the need for change, it is important to explore what type of change needs to occur. There are several theories that surround change leadership. This section briefly explores the most pertinent change leadership and change resistance seen

in education as well as the change theory leadership that will impact the shift to restorative practices. These change theories are discussed more in depth in Chapter II.

Transactional change. According to James Macgregor Burns (1978), transactional leaders work with the current culture of the organization; they do not attempt to change it. Leaders focus on the conditions of the here and now without concern for long-term change (Odumeru & Ogbonna, 2013). The transactional change leader responds to concerns as they arise versus seeking out potential problems before they impact the organization. In order to maintain this responsive stance, the transactional change leader focuses on compliance through rewards and punishments without concern for long-term organizational change (Odumeru & Ogbonna, 2013). This transactional change occurs when an employee meets the desired outcome of a specific directive given by the manager. In transactional change, there is a reward for completing the task correctly and equally a consequence for ineffectively completing the same task. Bass (1990) defined transactional change leadership as an exchange of a promise or a threat: reward of a promise for good performance or a threat and discipline if poor performance occurs (p. 20).

Transformational change. D. Anderson and Ackerman Anderson (2010) defined transformational change as "a radical shift of strategy, structure, systems, processes, or technology, so significant that it requires a shift of culture, behavior, and mindset to implement successfully and sustain over time" (p. 60). Burns (1978) stated that transformational change occurs when leaders and followers become their better selves through rising to higher levels of motivation and morality. Another author of transformational change, Bernard Bass, took transformational change one step further by

describing the characteristics needed from the leaders of these change initiatives. Bass (1990) suggested that transformational leaders have distinct characteristics that influence change in their organization.

In order for transformational leaders to influence change, they first must become aware of the resistance to change that may occur. Resistance is a reaction to the emotions being brought up by uncertainty and fear. Resistance is not always negative. According to D. Anderson (2012), "Reasons for resistance can include fear of the unknown, fatigue over too much change, cynicism that change is possible, and a desire to keep the status quo and one's comfortable habits" (p. 166). Transformational change can trigger resistance due to its nonlinear, unknown outcome and chaotic nature (D. Anderson & Ackerman Anderson, 2010, p. 142). This resistance to change can occur differently depending on whether the initiative is a first-, second-, or third-order change.

Kotter's eight-stage change theory. John Kotter, in 1994, developed an eight-stage change model that gave individuals a roadmap to help organizations lead transformation and change initiatives (Kotter, 2012). Kotter derived these eight stages when he discovered eight common errors organizations make during change initiatives. Kotter's eight-stage change model is designed to promote continuous change not episodic change. Kotter determined that not addressing these eight errors would lead to serious consequences such as initiatives not being implemented correctly, initiatives that took too long and were costly, and the change initiative not producing the desired results (Kotter, 2012). These eight errors and Kotter's eight-stage change model are discussed in detail in Chapter II.

Orders of Change

To understand change, one must first understand the order that change occurs. This section briefly describes first-, second-, and third-order change.

First-order change. First-order change, according to Marzano, Waters, and McNulty (2005), is an extension of past change efforts that were successful and consisted of current values and norms that could be implemented with the existing knowledge and skills currently in the organization (p. 113). According to D. Anderson (2012), first-order changes tend to be alterations or changes to existing practices rather than a rethinking or reinvention of the practice (p. 63). Second-order change challenges this idea of first-order change, as it looks for new opportunities and ideas that are different than the way change occurred in the past. This is where transformational change occurs.

Second-order change. Second-order change is deep change that offers new ways of thinking and acting (Marzano et al., 2005, p. 66). It is a radical shift from the expected way educational change occurs. Educational leaders who implement second-order change are flexible change agents who are innovative and knowledgeable in the areas of curriculum, instruction, and assessment (Marzano et al., 2005). Second-order change is difficult because it challenges the current mindset of the school community. Second-order change is transformational change that encourages a new way of thinking about current systems. It is large and significant change that impacts the school culture, communication, order, and input from the staff (Marzano et al., 2005). Second-order change has also been defined as a change that alters the way an organization is put together: new goals, structures, and roles (Waks, 2007, p. 283). When second-order

change has taken place in an organization and the desired outcome has not occurred, organizations may consider using third-order change.

Third-order change. According to the president of Lefkoe Institute, Morty Lefkoe (2011), third-order change in an organization occurs when all parties are "willing to question and change its beliefs and culture at all times" (p. 2). Third-order change is a result of the use of multiple second-order change initiatives in an organization that are a response to the changing environment (Lefkoe, 2011). This type of organizational change can be seen through the lens of educational change and the work of Michael Fullan.

Educational Change

Fullan (2006) suggested there are seven core premises to use in change theory: "a focus on motivation; capacity building with a focus on results; learning in context; changing context; a bias for reflective action; tri-level engagement; and persistence and flexibility in staying the course" (p. 8). Fullan's ideas about change theory differ from other theorists, as he places a heavy emphasis on building capacity in the one who is leading in the change effort in order to increase the effective implementation of the change (Fullan, 2006). Fullan (2008) defined capacity building as "leaders investing in the development of individual and collaborative efficacy of a whole group or system to accomplish significant improvements" (p. 13). Fullan extended the idea of capacity building in his book, *The Six Secrets of Change*. These six secrets are love your employees, connect peers with purpose, capacity building prevails, learning is the work, transparency rules, and systems learn (Fullan, 2008, p. 11). Fullan (2001) also suggested the idea of embracing change resisters, as their input could expose an area that was not

previously considered. Fullan suggested that all voices in the change process have value and need to be heard, even if they deviate from the original desired outcome.

According to Fullan (2001), there are five components of leadership that effect positive change: moral purpose, understand the change process, relationship building, knowledge creation and sharing, and coherence making (Fullan, 2001, pp. 5-7). Fullan suggested that these five components of leadership are difficult but crucial in the change process.

Leadership

Kevin Kruse (2013) in his *Forbes* article, "What Is Leadership," defined leadership as "a process of social influence, which maximizes the efforts of others, towards the achievement of a goal" (p. 2). This section briefly describes types of leadership that are discussed in depth in Chapter II.

Transformational leadership. According to Bass (1985), a transformational leader is a model of integrity and fairness, sets clear goals, has high expectations, encourages others, provides support and recognition, stirs the emotions of people, gets people to look beyond their self-interest, and inspires people to reach for the improbable. The most effective approach to leadership in an organization focuses on others in order to increase competence in all stakeholders (Harvey & Drolet, 1997). Transformational leaders are charismatic and inspire employees, meet the emotional needs of the employees, and intellectually stimulate employees (Bass, 1990). Transformational leaders also tend to be resonant leaders who live and lead with hope and optimism (McKee, Boyatzis, & Johnston, 2008). Transformational leaders are also servant leaders

who lead by developing caring relationships and using effective listening skills with the all stakeholders in the organization (Marzano et al., 2005).

Authentic leadership. Authentic leaders bring people together around a shared purpose and empower them to step up and lead authentically in order to create value for all stakeholders (George, 2007, p. xxxi). Bill George (2007), in his book *True North: Discover Your Authentic Leadership*, listed five dimensions of authentic leadership: pursuing purpose with passion, practicing solid values, leading with heart, establishing connected relationships, and demonstrating self-discipline (George, 2007, p. xxxi). George took leadership one step further to include five major areas of need in the personal development of a leader that leads towards their true north. These are self-awareness, values and principles, motivations, support team, and the integrated life (George, 2007, p. 66). Principals put into place these five dimensions of an authentic leader in order to impact change and positively impact the school culture and climate. Principals who are authentic leaders genuinely care about serving others through their leadership by empowering others through passion and compassion (George, 2003, p. 12).

High school principals. Principals receive information regarding initiatives, programs, or processes to implement at their school site from the district level. Principals are the leaders of these change efforts at their school site. Effective principals help staff think of old problems in new ways as well as communicate high expectations for both teachers and students (Marzano et al., 2005, p. 15). The ability to do this stems from the trust and consistency built into those relationships. Goleman (2000) stated that leaders need to pay attention to people by developing authentic relationships and build emotional

bonds through affability. Principals are the leaders of change initiatives at the school site. They impact and guide change efforts in multiple areas.

Statement of the Research Problem

What drives a change initiative is critical to the success of a transformational change implementation in an organization. The current changes in education, with the induction of CCSS and new accountability measures for school districts, require a cultural shift in school climate and culture efforts. D. Anderson and Ackerman Anderson (2010) described this type of change as cultural change, which suggests the need for change in both the leaders' and staff's behaviors and ways of thinking. This culture change moves stakeholders from the external (environment) to the internal (culture and mindset; p. 32). The external environment, such as high suspension and expulsion rates, impacts the school community towards the need to shift to internal change in the school culture and mindset. When implementing change, leadership must evoke moral purpose in order for it to be sustainable (Cole, 2013). According to Angelle and Anfara (2006), "Leadership is critical in the shaping of the school culture which will involve changing what people value" (p. 50).

Since the late 1990s, the value and mindset of zero-tolerance policies focused solely on the immediate removal of students with disruptive behavior (Kang-Brown et al., 2013). With the implementation of CCSS and the new accountability measures, in order to be effective, schools need to respond to behavioral problems on an individual basis, analyzing the circumstances and needs in each behavioral situation (Kang-Brown et al., 2013). In order to drive this shift in awareness, mindset, and culture, the implementation of practices that are sustainable and support the social-emotional learning of all

stakeholders is imperative. Implementing change in school districts that challenges this mindset by encouraging building caring relationships, a growing mindset, and creating meaningful connection to the school community, such as restorative practices, requires focus and repetition (Costello et al., 2009). This type of change needs to be driven deeply into the culture of schools in order to become a part of the schools' DNA (Costello et al., 2009, p. 171).

Restorative practices is a transformational shift from the focus on test scores and punitive disciplinary measures to the focus on the wholeness of all stakeholders in the school community. Restorative practices asks all stakeholders in the school community to build meaningful relationships, repair harm through restorative chats, and find meaningful work in order to engage students who feel disconnected from their school community (Costello et al., 2009). According to Kerri Berkowitz (2013), a leader of this change effort in a large unified school district, "Restorative Practices, when broadly and consistently implemented, will promote and strengthen positive school culture and enhance pro-social relationships within the school community" (p. 1).

The problem lies in the lack of understanding of the impact and response to implementation of restorative practices as a change initiative. There is also the recommendation to research the resisters to this change effort from the lens of the high school principals who are the drivers of this change as well as the relationships between principals and those they lead (DeAntonio, 2015, p. 129). Educators need to understand the experience of those they lead as the drivers of this transformational change and the resistance that may occur during implementation.

Purpose Statement

The purpose of this qualitative case study was to explore and describe the perceptions of high school principals in three Central and Northern California school districts on the implementation of restorative practices and resistance to change through the theoretical lens of Kotter's eight-stage change model.

Research Questions

1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?
2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?

Significance of the Problem

Since its implementation in the early 1990s, zero-tolerance policies have dramatically increased suspension and expulsion rates in schools (Smith et al., 2015, p. 13). These zero-tolerance policies were created to remove or exclude students who had committed acts that would threaten the safety of the school community. In California during the 2011-2012 school year, 860,018 students were suspended from school, with the majority of suspensions being students of color (CDE, 2016b). The result of these high suspension numbers of students determined a racial disparity towards students of color, showed no academic benefit, indicated low achievement and the risk of these suspended students ultimately not graduating high school or becoming college or career ready (Losen, Martinez, & Gillespie, 2012). These statistics also did not take into

account those students who lost instructional minutes due to immediate removal from class or classroom suspensions assigned by a teacher.

In response to this increase, three large unified school districts in California agreed to the implementation of restorative practices as a process that would shift the current culture of disruptive student behavior and growing suspension rates (Berkowitz, 2013) to a culture of promoting positive relationships and skill-building capacity in both students and adults (Smith et al., 2015).

Qualitative research is limited on the impact of restorative practices as a change initiative in California school districts in response to this suspension epidemic through the lens of high school principals who implement this change. Leaders in the field of restorative practices stated that rigorous research in the area of implementation and effectiveness in schools needs to continue being examined, researched, and evaluated (Hurley, Guckenburg, Persson, Fronius, & Petrosino, 2015, p. 4).

Restorative practices is relatively new to the K-12 system in California. The CDE (2015c) is working with districts around the state to implement innovative programs, such as restorative practices, in order not only to reduce suspension and expulsion rates but also to promote respect, responsibility, and relationships. In order to further the research in the implementation and effectiveness of restorative practices in California school districts, research needs to capture the significant areas of resistance and change in the implementation phase that may impact the overall sustainability of these processes.

Definitions

Climate and culture. For the purpose of this study, climate and culture are used synonymously. Climate and culture define the way a school feels, how people interact

with each other, and how relationships are perceived and created as well as how the students feel about the school. Climate and culture also suggest the attitudes and beliefs towards change at each school site.

Common core state standards. The Common Core is a set of high-quality academic standards in mathematics and English language arts/literacy (ELA). These standards help to bring common assessments in English language arts and mathematics across states in the United States, allowing for fidelity in testing criteria. These learning goals outline what a student should know and be able to do at the end of each grade, allowing students to move from state to state without losing any academic progress (Common Core State Standards Initiative, 2016b).

CORE waiver. The CORE waiver was developed by superintendents and administrative staff members from the eight participating school districts included in the waiver. This process helped establish common approaches and timelines for CCSS implementation, district and school accountability, and teacher and principal evaluation plans while allowing for local flexibility. Implementation of the CCSS and aspects of the CORE School Quality Index (CORE, 2013, p. 14).

High school. For the purpose of this study, high schools consist of traditional ninth- through 12th-grade schools where graduation is the ultimate outcome.

High school principals. High school principals are the individuals who oversee daily operations and lead change at their school site.

Kotter eight-stage change model. The basis of this study focuses on the theoretical framework of Kotter's eight-stage change model. The eight stages cover the areas of urgency, guiding coalition, vision, communicating the vision, empowerment,

celebrating short-term wins, consolidating gains, and anchoring the change into the organizational culture (Kotter, 2012).

Resistance. For the purpose of this study, resistance is defined as any mindset, frustration, failure to implement, or negative response to the transformational change taking place.

Restorative practices. Restorative practices is a set of processes used in the school system that precede discipline actions, to prevent wrongdoing, through relationship building and providing a sense of community (International Institute for Restorative Practices, 2012). According to *The Restorative Practices Handbook*, "Being restorative means to believe that decisions are best made and conflicts are best resolved by those most directly involved in them" (Costello et al., 2009, p. 7). Some of these practices include community-building circles, restorative chats, reentry meetings, affective questioning and statements, and restorative conferencing.

Social-emotional learning. Social-emotional learning (SEL) curriculum is based on five cognitive, affective, and behavioral competencies: self-awareness, self-management, social awareness, relationship skills, and responsible decision making (CASEL, 2013). Several of these noncognitive SEL competencies come from the work of Daniel Goleman in this book, *Emotional Intelligence*, written 20 years ago (Goleman, 1995, 2006).

Transformational change. D. Anderson and Ackerman Anderson (2010) defined transformational change as "a radical shift of strategy, structure, systems, processes, or technology, so significant that it requires a shift of culture, behavior, and mindset to

implement successfully and sustain over time" (p. 60). Transformational change is nonlinear change where the final outcome is yet to be determined.

Delimitations

This study was delimited to schools in Central and Northern California. This study was further delimited to school districts in Central and Northern California that implemented or are in the implementation phase of restorative practices. Though other districts in California may be implementing restorative practices, this study is delimited to three school districts in Central and Northern California. This study was further delimited to schools with a population of 1,600 to 2,800 students. The study participants were narrowed to high school principals working in unified school districts, with this student population, in Central and Northern California.

Organization of the Study

This study was organized into five distinct chapters. This study includes a review of literature in Chapter II describing change theory and restorative practices as a transformational change initiative. Chapter III contains the methodology used for this study in order to accurately answer the research questions. Chapter IV contains the findings of the study and themes that immerged through multiple interviews of site administrators. Chapter V, the final chapter, analyzes the data collected in Chapter IV as well as the answers to the research questions.

CHAPTER II: REVIEW OF THE LITERATURE

Introduction

The impact of recent initiatives in education towards student discipline has led to the racial disparity in the suspension rate of students of color. Principals, as the leaders of change initiatives, are the key to turning these statistics towards a positive outcome through the consideration of using practices that are an alternative to suspensions. This shift from a fixed mindset to a growth mindset (Dweck, 2006) towards a positive outcome provides the need not only to explore alternatives to suspensions, using restorative practices, but to explore the resistance factors that principals face during the implementation of change initiatives. It is important to gain principals' perspectives during the implementation phase through the theoretical framework of Kotter's eight-stage change model. Each step of Kotter's change model impacts the ultimate success of restorative practices being embedded into the school culture.

It is equally important to research the potential resistance met during the implementation phase of restorative practices. This information is a crucial component in the sustainability of this process in the school community. Ultimately understanding the principals' perceptions of the resistance met during the implementation will assist in necessary course corrections that may need to occur.

This review of literature includes an evaluation of current research literature, via a synthesis matrix (see Appendix A), on change theory and establishes the need to study high school principals' perspectives during the implementation of restorative practices as well as the resistance met during the change. A theoretical framework focusing on restorative practices, initiatives in education, social-emotional learning, type of change,

order of change, change models, resistance to change, and educational change are discussed in this chapter.

Restorative Practices in Schools

Punitive discipline measures have been the standard for discipline practices in schools. Macready (2009) stated, "Rewards and punishments have been used to reinforce learning about the difference between what is socially responsible and what is socially irresponsible" (p. 211). The idea of rewards and punishment in schools continues to be the driving force of discipline practices in and outside the classroom. This type of discipline falls in line with punitive measures historically done to a child, void of getting to the root cause of the behavior (Kohn, 2006). Restorative practices challenges this idea of punitive discipline through the idea that behavior and discipline challenges change when we do things "with" a child instead of "to" a child (Costello et al., 2009). Schools in New Zealand began using restorative practices as an alternative to punitive discipline measures in the late 1990s as a response to an increase in suspensions and expulsions of a specific group of students (Drewery, 2007). This movement started when the idea of retributive justice as a method that pulls people apart was compared to restorative justice that brings people together (Thorsborne & Blood, 2013). Restorative practices in the United States, particularly on the west coast, is a relatively new alternative to punitive discipline measures in education. The California Department of Education, in 2015, focused on school districts around the state in implementing alternative and innovative programs that would support the reduction of suspensions and expulsions (CDE, 2015c). A small number of schools in California have adopted restorative practices processes as an alternative to punitive discipline measures that have traditionally occurred in schools.

This shift from punitive discipline in schools is known as restorative discipline, which focuses on building community through relationships (Stutzman Amstutz & Mullet, 2005). Restorative discipline practices focus on holding children accountable and at the same time providing an opportunity for learning within a positive environment through restorative practices (Costello et al., 2009). The focus of restorative practices is to rebuild relationships between all members of the school community in order to develop a healthy school climate where students feel safe and recognized. These practices include repairing harm done through community-building circles, restorative conferences, and classroom meetings holding high expectations for all parties with high support (Costello et al., 2009; Thorsborne & Blood, 2013). A restorative practices school can be described as an environment where restoring relationships is the priority, reengagement into the learning environment is key, and everyone's voice has equal value. In order to assure that all voices share equal value, restorative meetings use a set of affective questions asked to all participants that provide an opportunity for learning and relationship building (Costello et al., 2009). Table 1 lists the questions in the order they are asked during these restorative meetings.

The most effective schools look at behavioral problems not through a sweeping lens of one-size-fits-all discipline, but rather views the circumstances on a case-by-case basis that suits the individual's needs (Kang-Brown et al., 2013). Restorative practices focus on relationships as a way to look at all aspects of the school culture by developing relational practices that help prevent misbehaviors from occurring (Blood & Thorsborne, 2005). Researchers are now looking for practices, like restorative practices, that school districts can integrate into the school day that will promote social and emotional learning

across multiple settings (Jones & Bouffard, 2012). Restorative practices is one of many strands of social-emotional learning (SEL) that is gaining momentum in replacing punitive discipline in schools with practices that heal (Cervone & Cushman, 2014a).

Table 1

Restorative Questions

Order	Restorative question
1.	What happened?
2.	What were you thinking at the time?
3.	What have you thought about since?
4.	Who has been affected by what you have done?
5.	What do you think you need to do to make things right?

Note. From *The Restorative Practices Handbook*, by B. Costello, J. Wachtel, & T. Wachtel, 2009, Bethlehem, PA: International Institute of Restorative Practice.

Social-Emotional Learning

As a child needs to learn to read in school, so does that same child need to learn how to read social cues in school (Jones & Bouffard, 2012). Challenging situations provide opportunities for children to learn how to navigate relationships and manage negative emotions with not only the adults in the school setting but their peers as well (Jones & Bouffard, 2012). Learning to manage and regulate emotions helps children learn empathy and take others' perspectives in order to be successful in school and ultimately in life (Elias, 2014; Jones & Bouffard, 2012). Social-emotional learning (SEL) can be linked to an increase of social-emotional skills, such as improved attitudes towards self, others, and school and positive classroom behavior (Elias, 2014). Opportunities to use SEL skills in and out of the class help develop emotional

competence in students, especially during trying times (Goleman, 1995). With the induction of the Common Core State Standards (CCSS), it is important that students learn social-emotional skills in order to self-manage, have the ability to persevere, and have empathy for others (Elias, 2014; Weissberg & Cascarino, 2013).

According to the Collaborative for Academic, Social, and Emotional Learning (CASEL), SEL is made up of five domains: self-awareness, self-management, social awareness, relationship skills, and responsible decision making (CASEL, 2015c). Self-awareness and self-management recognize one's emotions and their impact on others. Social awareness refers to the ability to recognize emotions in the social situations around oneself. Relationship skills refer to opportunities to support others through listening, showing compassion, and communication. Responsible decision making refers to the ability to make decisions that will not have a negative impact on others or oneself (CASEL, 2015c). Therefore, students who have strong social and emotional skills perform better in school, easily develop relationships with peers and adults, and have overall good mental health (Jones & Bouffard, 2012).

With this drive towards embedding SEL into high school classrooms, what does it take to make this happen (Cervone & Cushman, 2014a)? The answer consists in educators who are willing to implement these SEL competencies through innovative teaching, modeling, and facilitating, allowing students opportunities to apply themselves in a classroom setting that is safe, caring, and engaging (Weissberg & Cascarino, 2013). This teaching, modeling, and facilitating can only occur in an environment that encourages supportive relationships between the teacher and students as well as students and students (Jones, Bouffard, & Weissbourd, 2013). Research shows that teachers with

strong social-emotional competence have more positive relationships with students and implement SEL strategies in the classroom more efficiently (Jennings & Greenberg, 2009). The best learning occurs when supportive relationships are developed in an environment that is challenging, engaging, and meaningful (Jones et al., 2013). SEL programs that are implemented with fidelity can have a positive effect on the academic, social, and emotional well-being of students (Weissberg & Cascarino, 2013). Balancing academic learning and social-emotional learning in the United States would strengthen a child's emotional state as well as his or her emotional vocabulary, helping them to develop important skills needed to become emotionally intelligent (Elias, 2014; Weissberg & Cascarino, 2013; Zinsser, Weissberg, & Dusenbury, 2013).

Emotional Intelligence

In 1995, Daniel Goleman wrote his groundbreaking book, *Emotional Intelligence* boldly stating that the best predictor of work and life success was in fact the individual's emotional intelligence (Goleman, 1995, 2006). In this book, Goleman challenged the idea that human beings were made up of only intelligence and personality by adding this third layer of human makeup known as emotional intelligence. Goleman believed there were five components to emotional intelligence: self-awareness, self-regulation, motivation, empathy, and social skills. Goleman's theory was later adapted by Bradberry and Greaves (2009) in their book *Emotional Intelligence 2.0*. Figure 1 demonstrates how Bradberry and Greaves adjusted Goleman's five components of emotional intelligence into four skills identified with emotional intelligence: self-awareness, self-management, social awareness, and relationship management (Bradberry & Greaves, 2009).

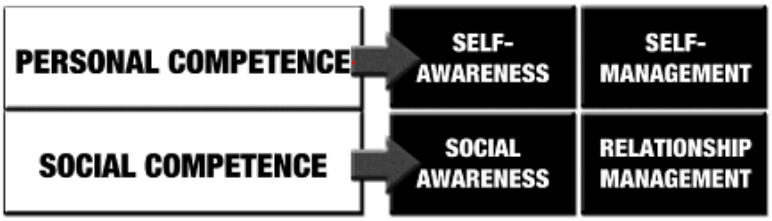

Figure 1. Emotional intelligence 2.0. From *Emotional Intelligence 2.0*, by T. Bradberry & J. Greaves, 2009, San Diego, CA: TalentSmart.

These four emotional intelligence skills fall into two distinct categories of an individual's personal competence and his or her social competence. These four skills can be broken down even further, as self-awareness and social awareness refer to what I see and self-management and relationship management refer to what I do about what I see (Bradberry & Greaves, 2009).

Emotional intelligence training and coaching is a crucial component of leadership. A case study investigating the perception and effects of emotional intelligence for school administrators suggested that emotional intelligence training was in fact important for principals to have and those with high emotional intelligence would build stronger relationships with all stakeholders in the school community (Moore, 2007, 2009). This study also showed a direct correlation between initiating change and the ability to effectively lead said change (Moore, 2009). This idea that emotional intelligence is important not only to the process of being a leader but in being an effective leader (George, 2003) can be seen in self-management, for example, that will help leaders in avoiding their emotions controlling their behavior to a negative outcome known as emotional hijacking (Bradberry & Greaves, 2009). Interpersonal skills, found in the four emotional intelligence skills, such as building positive relationships, cooperation, self-regulation, competence in ability to lead, and social awareness are crucial components to

avoiding emotional hijacking (Jones & Bouffard, 2012). With the four skills of emotional intelligence, leaders can build trust through the display of being socially aware of employees' emotions during change, demonstrating empathy towards those emotions, and ultimately being able to address these emotions to a positive resolve (Moore, 2009). The importance of having leaders who are effective in using both their intellectual capacity and emotional intelligence simultaneously help solidify this process (Fullan, 2001). These four emotional intelligence skills will also help build a strong school climate and culture where all students and adults feel safe, are socially aware, and foster strong relationships.

School Climate and Culture

The overall school climate and culture can be defined as the patterns of behavior that determine how every member will feel included, behave appropriately, and respond in the organization (Jones & Bouffard, 2012). Influencing the school culture and climate can be the most meaningful and tangible way SEL impacts school campuses (Jones & Bouffard, 2012). Each component, however, has its own individual and specific meaning in regard to a school campus.

School climate can be defined as the standard mood or morale of all members of the school community (Gruenert, 2008). In order for school leaders to assess the overall culture of a school campus, it is important for them to begin by looking at the climate (Gruenert, 2008). The climate of a school encompasses the pulse of the student population as well as the adults, especially in regard to the current status of mental health and well-being (Thapa et al., 2012). This includes the level to which caring and positive

relationships are built amongst students and between adults and students (Bradshaw, Koth, Bevans, Ialongo, & Leaf, 2008).

School culture refers to the unwritten rules and expectations that are present on a school campus that each member finds important to thrive (Gruenert, 2008). It is the "way we do things around here" pertaining to the collective beliefs and practices (Hemmelgarn, Glisson, & James, 2006). Culture can also be defined by the values and expectations embedded in the verbal and nonverbal practices of all community members (Jones & Bouffard, 2012).

Students need support from the entire school community in order to feel safe, positive, and open to learning (Jones & Bouffard, 2012). This can happen when building a strong school climate is embedded in schoolwide practices that thrive when relationships between teacher and teacher, teacher and student, and student and student are strengthened (Weissberg & Cascarino, 2013). To understand this further, there is a need to review educational initiatives and the importance of how school climate and culture have been shaped by them.

Initiatives in Education

Several initiatives in education impact the lives of students. This section discusses the major initiatives in education that impact student achievement and social-emotional well-being.

Zero-Tolerance Policy

In 1994, Congress passed the Gun Free School Act, which mandated any student who brought any instrument that could be used as a weapon, including a firearm, would be expelled for 1 year from their respected school district (National Education

Association [NEA], 2011). By 1997, 79% of schools had adopted zero-tolerance policies, unique to each individual school district, that went beyond policies determined in the Gun Free School Act of 1994 (Kang-Brown et al., 2013). This included zero-tolerance policies for bullying, using profanity, and cell phone use to name a few (American Psychological Association Zero Tolerance Task Force, 2008; NEA, 2011). To impact these policies further, the federal government and individual states increased funding for campus security personnel, law enforcement officers who would be placed on school campuses, and, in some schools, metal detectors (Kang-Brown et al., 2013). Zero-tolerance policies were created in order for school districts to predetermine disciplinary actions for specific offenses regardless of the situation or context for which the offense occurred (NEA, 2011). The idea behind zero-tolerance policies believed that if "problem" students were removed from the school setting, the school would have a safer environment (Kang-Brown et al., 2013). The definition of problem students was not clearly defined, and disproportionate suspension and expulsion numbers revealed this fact. Flaws in zero-tolerance policies were discovered with the disproportionality rates of suspensions and expulsions of African Americans and Latinos versus the much lower rate of suspensions and expulsions of White students. Further flaws were discovered in the increased number of students in special education also having high suspension and expulsion numbers (Kang-Brown et al., 2013).

Research suggests that suspensions do not deter future misbehaviors in students who are already disengaged with the school community (Losen et al., 2012). Students who are have reoccurring misbehaviors at school need to feel engaged in the school community, not excluded from it (Kang-Brown et al., 2013). Zero-tolerance policies did

not completely accomplish what they set out to do. Schools did not become safer or more orderly; rather the opposite may have occurred (Kang-Brown et al., 2013). In fact, in 2013, an estimated 2,000,000 students were suspended at the secondary school level (Losen & Martinez, 2013). This then implies that removing students from school can have lifelong negative effects, potentially limiting the young person's future opportunities (Kang-Brown et al., 2013).

NCLB

In 2002, President George W. Bush signed into law the initiative known as No Child Left Behind (NCLB) as an update to President Lyndon Johnson's Elementary and Secondary School Act of 1965 (Fullan, 2016; Klein, 2015). NCLB had five main target areas:

1. Highly qualified teachers working in their specific subject area
2. Student choice to transfer schools if their home school was underperforming to a higher performing school
3. Schools will provide supplemental educational services such as tutoring
4. Focus on specific underserved groups
5. Adequate Yearly Progress reporting measure for academic performance (Klein, 2015; Weiner & Hall, 2004).

The goal of NCLB was to close the achievement gap by 2014, through accountability measures such as test scores and an overall yearly progress measure known as the Adequate Yearly Progress (AYP; Daly & Finnigan, 2009). This focus on AYP meant that school districts must set goals, be held accountable to those goals, and make continuous and substantial progress towards all students becoming academically

proficient by the end of the 2014 school year (Rudalevige, 2003; Sclafani, 2002-03; Weiner & Hall, 2004). NCLB defined underserved student groups as low income, minority, English language learners, and disabled students (Owings & Kaplan, 2012). The federal government targeted underserved students where academic achievement was unequal to their student counterparts and created NCLB as an accountability measure for all states, districts, and schools (Fullan, 2016; Weiner & Hall, 2004). The goal of NCLB was for all students, especially those in these specified groups, by the end of the 2013-2014 school year, to be proficient in both reading and math and at grade level in both areas (Klein, 2015; Owings & Kaplan, 2012). The mantra behind NCLB was "what gets measured gets done" (Owings & Kaplan, 2012).

The idea behind NCLB was to increase the economic and societal success of all students in order to produce an educated workforce (Weiner & Hall, 2004). NCLB pushed districts to increase academic rigor, academic measurement through standardized testing, and teacher quality in order to increase teacher and school success (Sclafani, 2002-03; Weiner & Hall, 2004). This led to the shift of a test measuring how well students were learning and how effective teachers could teach. Unfortunately, this increased fear of reprimand in teachers who ultimately began teaching to the test instead of teaching to their curricular standards in order to increase students test scores due to the NCLB requirement of highly qualified teachers in every classroom by 2005-2006 (Fullan, 2016; Sclafani, 2002-03).

NCLB relied heavily on standardized tests as the way to close the achievement gap for underserved student groups (Klein, 2015). By 2011, due to the requirements of NCLB, 82% of schools across the United States were failing to be on track for the 2013-

2014 deadline. Because of this large percentage, which ended up being closer to 50%, President Obama was able to pass a waiver system that would help these struggling districts no longer be under the NCLB law deadline of 2013-2014 (Klein, 2015). These states were given the opportunity to create, within each state, standards that would help students become college and career ready (U.S. Department of Education, 2013a). This entailed working closely with the colleges in their respective state to certify that the curriculum was rigorous for students to be successful after high school or adopting the CCSS (Klein, 2015).

Common Core State Standards

In order to be successful in a fast pace, ever-changing economy and society, today's students need the skills to be academically competitive during their K-12 experience and in college and/or career. In order to create an opportunity for students in the United States to reach this goal, several educational leaders came together in 2007 in order to develop K-12 standards that would create college- and career-ready graduates (Conley, 2014; Porter, McMaken, Hwang, & Yang, 2011). One area that was not considered in NCLB was the issue of recent high school graduates not ready for the rigor of college and needing college remediation courses (Conley, 2014; Gewertz, 2015). Unlike its predecessor NCLB, which placed the measurement solely on academic achievement on a test, the CCSS are defined as follows:

- Common: The standards are the same across states and K-12
- Core: The core academic areas of English language arts and mathematics would be addressed
- State: Each state develops and implements the standards

- Standards: Standards, not an exam, will be the measurement (National Conference of State Legislatures [NCSL], 2014).

The academic divide in some parts of the country between those who are lifelong learners and those given subpar knowledge and skills does not close the achievement gap or guarantee future success (Conley, 2014). The need for a streamlined academic measurement in the United States was an urgent imperative to close this national achievement gap. The mission behind CCSS was exactly that: align standards across the 50 states, in math and English, in order to create a consistent learning environment for all students (Common Core State Standards Initiative, 2016b; Conley, 2014; Gewertz, 2015). This opportunity to create national curriculum in math and English language arts helps to share expectations across states and focus on academic efficiency and quality of assessments as a nation (Porter et al., 2011). Another significant reason for this alignment of standards was to create smooth academic transitions for students and school districts when a student moved states. Standards help ensure that students in every state will acquire the same knowledge, skills for college and career readiness, and K-12 standards critical to success in college, career, and life (Common Core State Standards Initiative, 2016b; Conley, 2014). Currently, 42 out of 50 states have adopted and implemented the CCSS (Common Core State Standards Initiative, 2016b). The alignment of these standards across states is helping not only to bridge the achievement gap but also to increase the graduation success rate of these subgroups through programs such as the Every Student Succeeds Act.

Every Student Succeeds Act

The Obama administration put several programs and efforts in place to improve education from the "cradle to career" (Executive Office of the President, 2015, p. 3). One of these efforts, known as the Every Student Succeeds Act ([ESSA], 2015), was signed into law in December of 2015 (Klein, 2016). ESSA updates and replaces the No Child Left Behind Act of 2002 in the 2017-2018 school year, addressing for the first time that each community in the United States has individual needs (Klein, 2016; Korte, 2015). Each state will be accountable based on one long-term and one interim goal that address the three key areas of proficiency on tests, English-language proficiency, and graduation rates (Klein, 2016). Each state is required to add at least one additional indicator in the areas such as school climate/safety, student engagement, or a program the state thinks is necessary (Klein, 2016). This differs from NCLB, as the state decides the accountability goals instead of the federal government (Korte, 2015).

At the high school level, states must make one of these goals surrounding graduation rates, especially those schools that have a 67% or less graduation rate and high dropout rates (Executive Office of the President, 2015; Klein, 2016). Low-performing schools that fall into the bottom 5% have to be identified and interventions have to be put in place in these schools (Klein, 2016). The ESSA will allow and empower state and local decision makers to create and build strong systems unique to their specific evidence and data collected (Executive Office of the President, 2015).

One of the focuses of ESSA has been placed on the importance of having great teachers in classrooms who are willing to collaborate with students and great principals who are willing to lead these schools beyond the current status quo (Executive Office of

the President, 2015). The Race to the Top grant is an incentive offered to states to do just that. Race to the Top grant created opportunities to build capacity by implementing innovative ways to support great teachers and leaders as well as hold them to a high standard in order to improve teaching and learning (Executive Office of the President, 2015). These academic standards must be challenging in math, reading, language arts, and science and align with college entrance requirements as well as state-based career and technical education programs (NCSL, 2015). The ESSA is an important law on meeting the needs at the state level. Local control accountability plans give school districts the opportunity to meet important area-based needs.

Local Control Funding Formula

The Local Control Funding Formula (LCFF) was signed by Governor Jerry Brown and implemented in the 2013-2014 school year, replacing the previous funding system based on the average daily allowance (ADA) calculation (CDE, 2015b, 2016a; Ed-Data, 2015). This funding system is based on the student needs and characteristics in each local educational agency (CDE, 2015b). LCFF brings the funding, based on student need, to school districts in order to make decisions based on areas where student outcomes need to be improved (CDE, 2016a; EdSource, 2016). All of these decisions and goals for student outcomes of improvement must be documented in the new local control accountability plan.

Local Control Accountability Plan

The local control accountability plan (LCAP) is a plan created by school districts, known as local educational agencies (LEAs), in order to document goals to improve student outcomes (CDE, 2015b; EdSource, 2016). This accountability plan may be

written after parents, teachers, students, and community members add their perspective on areas needed for school improvement and student achievement (EdSource, 2016). The LCAP template is used to create the 3-year improvement plan that is updated each July 1 (EdSource, 2016). Once these procedures have been considered and the LCAP has been adopted by the LEA, the final review and approval must be provided by the county office of education (EdSource, 2016). It is important that the LCAP show the itemized services, goals, and cost to meet the needs of designated student groups such as students with disabilities, students in specific racial and ethnical groups, and English language learners redesignated as English fluent (EdSource, 2016). The LCAP template consists of three sections:

- Engagement
- Goals, actions, expenditures, and measures of progress
- Use of supplemental and concentration funding (EdSource, 2016).

The LCAP requires for goals to be set, based on the eight state priorities, and placed into three specific categories. The LCAP requires LEAs to identify goals and ways to measure progress for students in specific subgroups based on these priorities and indicators (CDE, 2016a). The categories and their corresponding state priority are listed in Table 2.

Types of Change

Two types of change are discussed in this section in order to distinguish the different components between transactional and transformational change. The following sections explore the similarities and differences of the two types of change.

Table 2

LCAP State Priorities by Category

Category	State priority number	State priority details
Conditions of learning	Priority 1	Basic school conditions—fully credentialed teachers
	Priority 2	Implementation of state standards—Common Core
	Priority 7	Access to a broad course of study, including courses required for high school graduation—courses needed for college entrance
Pupil outcomes	Priority 4	Student achievement—measures of college and career readiness
	Priority 8	Other student outcomes—SAT or ACT college entrance exams
Engagement	Priority 5	Student engagement—graduation, attendance, and dropout rate
	Priority 3	Parent involvement—parents' participation in school-site decisions
	Priority 6	School climate—suspension and expulsion rates, surveys, safety, and connectedness

Note. From "Welcome to the Local Control Funding Formula Guide," EdSource, pp. 32-34, 2016, retrieved from https://edsource.org/wp-content/uploads/2016/02/lcff-guide-print-version.pdf.

Transactional Change

Transactional change is incremental and impacts an aspect of the organization without changing the structure of the organization as a whole (Harvey & Broyles, 2010). Certain external environmental factors help trigger transactional change (D. Anderson, 2012; Cawsey & Deszca, 2007). These variables are external environment, leadership, mission and strategy, and organizational culture (D. Anderson, 2012; Cawsey & Deszca, 2007). These variables would change an already existing system within the organization, considering transactional change as a first-order change (D. Anderson, 2012). Transactional change occurs when the presence of defined leaders, who value order and structure, and followers who are self-motivated work together to complete a task (Spahr,

2014). When a series of transactional changes occur in an organization, which are connected to the overall vision, transformational change will follow (Harvey & Broyles, 2010).

Transformational Change

Ackerman Anderson and Anderson (2010a) stated that transformational change recognizes that old ways of operating will not deliver the desired results needed to be successful in the current marketplace. It is a change that radically shifts the current practice towards an unknown destination that will produce breakthrough results (Ackerman Anderson & Anderson, 2010a; Harvey & Broyles, 2010). Transformational change looks different from a transactional change effort, as it focuses on an entire organizational change versus exchanges between individuals. This can trigger an emotional response from people within the organization who are not aware of the direction or intended outcome of this change (Ackerman Anderson & Anderson, 2010a). Emotional responses from the staff, such as concern, fear, doubt, and anxiety, build when an employee believes their core need of belonging and connection will not be met throughout this change effort (Ackerman Anderson & Anderson, 2010a). It is important to include staff in collaborative meetings regarding the change in order to increase awareness of the emotional responses the staff are dealing with. Leaders look at these responses as an opportunity to course correct during a transformational change in order to reach the desired destination or outcome of the change (Ackerman Anderson & Anderson, 2010a). These course corrections help adjust the change effort based on the responses and factors that arise during the process (Ackerman Anderson & Anderson,

2010a). According to Ackerman Anderson and Anderson (2010a), seven drivers exist, each one building on the next, in order to obtain transformational change (see Table 3).

Table 3

Drivers of Change Model

Drivers of transformational change			
Driver of change (in sequential order)	External	Internal	Definitions
Environment	X		The dynamics that occur in the larger organization and people: social, business and economic, political, governmental, technological, demographic, legal, and natural environment
Marketplace requirements for success	X		The requirements it takes for a business to succeed in the marketplace and meet its customers' needs as a result of changes in environmental forces
Business imperatives	X		The strategic moves needed to be successful in the new marketplace; the strategy for success
Organizational imperatives	X		The changes to organizations' structure, systems, processes, technology, resources, skill base, or staffing needed to implement change
Cultural imperatives		X	The norms or collective way of being, working, and relating in the company that must change to support and drive the organization towards the desired outcome
Leaders and employee behavior		X	The behaviors that must change in both leaders and staff to express the desired organizational culture
Leader and employee mindset		X	How leaders' and staffs' worldviews, assumptions, beliefs, or mental models must change for people to enact the desired behavior and culture

Note. From *The Change Leader's Roadmap: How to Navigate Your Organization's Transformation* (2nd ed.), by L. Ackerman Anderson & D. Anderson, 2010a, San Francisco, CA: Pfeiffer.

In the case of a large-scale educational change initiative, these seven drivers of change build on each other in order to transform the environment of the organization, thus seeing a radical shift in the culture and people (D. Anderson & Ackerman Anderson, 2010a). The importance of this radical shift can also be seen through the lens of the order in which the change occurred.

Orders of Change

The extent of which faculty and staff are ready for a change initiative is crucial in determining which order of change needs to occur (Green, 2013). First-, second-, and third-order change each have their own unique and separate attributes towards the success of a change initiative. This section elaborates on each change order and its specific characteristics.

First-Order Change

First-order change occurs when an existing system in the organization is modified or changed to meet certain criteria (Bartunek & Moch, 1987). This type of change does not call for starting over or inventing something new. The idea behind first-order change is that an organization has good systems in place; they just need to do better with those existing systems (Lorenzi & Riley, 2000). This change is a variation of an existing system, program, or process that has been used before (D. Anderson, 2012; Lorenzi & Riley, 2000). In education, administrators avoid conflict with teachers and students by making continuous incremental changes within the existing systems, thus avoiding disrupting the learning environment (D. Anderson, 2012; Bartunek & Moch, 1987; Green, 2013). Examples of these changes may include class size reduction, accountable communities by department, common planning time for teams, and academy systems to

name a few. Though some of these changes may appear to be second-order changes, they do not completely change the existing system; they simply alter it. Second-order change is just that, a complete shift from an existing system to a new system (Lorenzi & Riley, 2000).

Second-Order Change

Education has consisted primarily of the "sit and get" model, otherwise known as direct instruction, where a teacher's main focus was teaching to the content standards not directly interacting with students. In more recent years, there has been a push towards differentiated instruction, a second-order change idea, which would increase learning for all students within the classroom setting (Brown, Tucker, & Williams, 2012). A second-order change in education occurs when teachers teach students using multiple models beyond direct instruction such as group work, Socratic seminar, and pair share activities, increasing dialog between students and teacher and students. Opportunities like these encourage students and teachers to think differently, be willing to learn something new, and draw conclusions for themselves (Fouts, 2003). This shift in teaching and thinking has also been called transformational change, where the change is a radical shift from one system to another (Ackerman Anderson & Anderson, 2010a; Bartunek & Moch, 1987; Lorenzi & Riley, 2000). Currently in education, the issue of racial disparity amongst the discipline rates of minority students has educators looking for new, creative, and innovative ways, a radical shift, to change the current way schools handle discipline (U.S. Department of Education Office for Civil Rights, 2014). Restorative practices is a second-order change that challenges the idea of suspension by encouraging relationship building, restorative conferencing, and community-building circles (Costello et al., 2009).

Restorative practices can become a third-order change if the process is used throughout an entire school district as the alternative to suspension instead of being used at a single school site.

Third-Order Change

Third-order change involves moving past a singular component of an organization by turning the focus to the organization as a whole. This type of change involves the transformation of the rules and history that identifies the organization (Tsoukas & Papoulias, 2005). During third-order change, the entire culture of the organization is challenged as well as the organizational environment as a whole (Tsoukas & Papoulias, 2005). In education for example, third-order change questions the systems at the school district level versus looking at an individual school as the focus of needed change. Third-order change is then in fact continuous improvement towards change (Lefkoe, 2011). Organizations may try several different processes in order to obtain the desired change. It is important to review change models and their impact on the order in which change occurs.

Change Models

The purpose of this section is to explore several change models important in understanding transformational change in education. This section describes and defines change models, ultimately focusing on the theoretical framework of Kotter.

Fullan

Michael Fullan (2001) created the five components of leadership model that he believed reinforced the forces for positive change (see Figure 2). Fullan believed that change could not be managed or controlled and leaders should seek to lead and be

understood (Fullan, 2001; Owings & Kaplan, 2012). The five components of Fullan's leadership model for change assist in helping staff better understand the change initiative as well as be led towards the goal of the change (Fullan, 2001). These five components are moral purpose, understanding the change process, relationship building, knowledge creation and sharing, and coherence making. The ultimate goal of these five components of leadership is to produce enthusiasm, hope, and energy in order to gain the commitment of the staff towards the desired results for change (Fullan, 2001). Having a moral purpose in education can be identified as the results of a change initiative that has a positive impact on the lives of staff, students, and the school community as a whole (Owings & Kaplan, 2012).

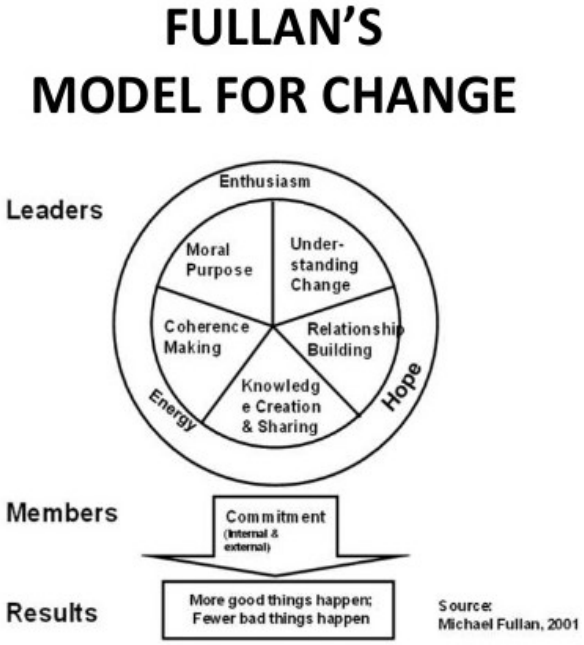

Figure 2. Fullan's model for change. From *Leading in a Culture of Change*, by M. Fullan, 2001, San Francisco, CA: Jossey-Bass.

The next component in Fullan's change model is understanding the change process. The change process is about innovativeness, strategizing, and the obtaining of

new skills and understanding (Fullan, 2001). It is about embracing those that are resisting the change initiative as an opportunity for growth and learning. Transforming the culture by creating a culture for change occurs when the leader continues to gain knowledge, skills, and understanding as the change initiative is taking place (Fullan, 2001).

A key to successful change is to work on current relationships while building new ones (Fullan, 2001, 2002). Building capacity in the organization through relationships is the determining factor of the success of the change initiative (Fullan, 2001). The skillful activity of building capacity includes building relationships with a diverse group of people within the organization (Owings & Kaplan, 2012). These relationships increase the sharing of information and knowledge within the organization (Fullan, 2001). Professional development opportunities, outside of the regular school day, allow colleagues to share knowledge and receive new information, thus continuing to build capacity in one another (Fullan, 2001, 2016).

All staff may not initially want to embrace the change initiative, as it can challenge the current mindset and disrupt what they have come to believe as a system that is working and does not need to change (Fullan, 2001). Making sense of the overall change process, known as coherence making, can be difficult, as new ideas challenge the current processes, resulting in resistance (Fullan, 2001, 2011). This resistance can lie between the balance of letting go of old programs or processes and embracing and making sense of the new ones (Fullan, 2001, 2011, 2016).

As these five components help leaders in the change process, the next step is obtaining long-term commitment from the staff to embrace the change initiative (Fullan,

2001). The identifier that commitment has been obtained is the shift in the staff to embrace the change and work towards improving the overall school community (Fullan, 2001). Leaders must work with the school community to obtain organizational change and ultimately implement a meaningful transformation. Fullan (2001) referred to this as more good things happening or fewer bad things happening. The shift in the staff leads to less resistance and the overall acceptance of the change initiative that will ultimately lead to successful and sustained school reform (Owings & Kaplan, 2012).

Fullan's (2001) change model is heavily focused on leadership traits in order to obtain successful change. Fullan also does not address the sense of urgency that educational change requires. Therefore, Fullan's change model was not chosen for this study's theoretical framework.

Harvey

Harvey and Broyles (2010) stated that change begins as "a response to some stimulus, whether internal or external, which motivates us to move from doing one thing to doing something else" (p. 10). In order for a change model to be successful, Harvey and Broyles (2010) stressed the importance of having a model to follow during the change process. Harvey's checklist for change suggests 20 steps in the change process to follow in order to reach the change goal (see Table 4).

This systematic change model has 20 steps that need to be followed in numeric progression (Harvey, 2001). Skipping steps in order to speed up the change process will only lead to a failed change effort (Harvey, 2001). This change model is extensive for the type of change the researcher is attempting to study. For this purpose, Harvey's steps for change were not chosen as the theoretical framework.

Table 4

Steps in the Change Process—Truncated

Steps in the change process	
Analysis	Explanation
1. Description	Briefly describe the change effort
2. Need	Determine if the change is needed
3. Potential actors	Who agrees with the change and who influences the success of this change?
4. Payoff	What will employees gain from the change effort?
5. Unfreezing	Strain—do the individuals feel stress in relation to change? Valence—is there something valuable to head towards? Potency—does the employee believe they can change?
6. Resistance	To what degree is resistance to the change effort present?
7. Investment	Who are your supporters? Who already supports the change?
8. Culture	Does the organizational culture support change?
Planning	Explanation
9. Actual changees	Who is needed for the change to be successful?
10. Change strategy	What strategy will you use to implement the change?
11. Resistance strategy	How will you address the resistance to change?
12. Participation	How will changees be involved in the change process?
13. Excitement	How will you create excitement for the change?
14. Change environment	How does this change fit into the pattern of change in the organization?
15. Scope	Examine the scope of the change effort.
Implementation and evaluation	Explanation
16. Advocates	Who will support the leader in this change effort?
17. Time frame	Set a time frame for the change effort to be completed.
18. Monitoring	How will you monitor the change effort?
19. Action plans	A plan that states the order in which the change will be implemented.
20. Risk analysis	Analyze the positives and negatives of this change effort and compare.

Note. From *Checklist for Change: A Pragmatic Approach to Creating and Controlling Change* (2nd ed.), by T. R. Harvey, 2001, Lanham, MD: Scarecrow Press.

Lewin

Several theorists consider Kurt Lewin the founder of change theory (Harvey & Broyles, 2010). Lewin (as cited in Ramage & Shipp, 2009) is well known for his quote regarding change: "you cannot understand a system until you try to change it" (p. 262). In the 1950s, Kurt Lewin created a three-phase model known as unfreezing, change, refreezing for organizational change (D. Anderson, 2012; Weick & Quinn, 1999; see Figure 3).

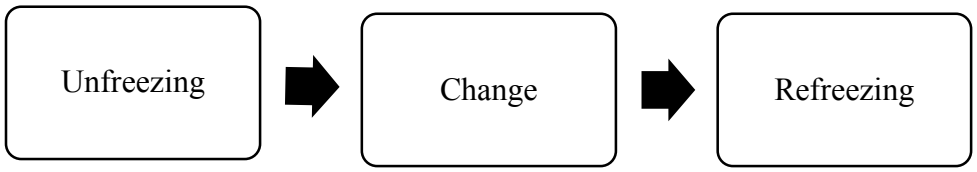

Figure 3. Lewin's three-step change model.

Unfreezing. During the unfreeze stage it is important to explain why change needs to occur and why the organization must unfreeze from its current state (Mind Tools Editorial Team, 2016). Lewin argued that in order to motivate people to change from their current desire for balance or equilibrium, the need to explain the reasons for the change are critical (Green, 2013; Harvey & Broyles, 2010; Owings & Kaplan, 2012). Lewin believed there were two forces that would help motivate people for change, the force of change being greater than the force of staying (D. Anderson, 2012).

Change. In the second phase, the movement towards change becomes a decision to leave an old practice behind in order to consider the possibilities of a new one (D. Anderson, 2012). This idea was that the force to change was greater than the force to stay the same (Harvey & Broyles, 2010; Weick & Quinn, 1999). Lewin also believed that planned change helped individuals move towards understanding the impact and

reasons behind the change in order to resolve any inner conflict or anxiety they may have (Owings & Kaplan, 2012). The change phase gives opportunities for the employees to look for new ways of operating, thus embracing a new direction the organization is heading towards.

Refreezing. In the final phase of organizational change, refreezing occurs when the desired change has transpired, equilibrium is obtained, and the change is made permanent (D. Anderson, 2012; Mind Tools Editorial Team, 2016; Owings & Kaplan, 2012). Lewin's model for change is simplistic and does not address the need to create a sense of urgency nor the importance of embedding the change into the organizational culture. For these reasons, Lewin's change model was not chosen for this research.

Kotter's Eight-Stage Change Process

In 1994, after doing significant research, John Kotter found eight common errors that undermine transformation efforts in organizational change (Kotter, 1995, 2012). These errors were the basis for Kotter's eight-stage change process framework (Kotter, 1995, 2008). Kotter (2012) believed that these eight stages were designed to produce successful change of any size in any organization. In order to avoid these eight common errors during a change initiative, Kotter created a stage that would address each concern (see Table 5).

Overarching Components

Within this eight-stage change model is three overarching components: defrost, introduce new practices, and ground the changes in the corporate culture (Kotter, 2012; Thorsborne & Blood, 2013). These overarching components help in the transformation process during a change initiative.

Table 5

Kotter's Eight-Stage Process of Creating Major Change

Eight errors of organizational change	Eight-stage change process	Definition of stage
1. Allowing too much complacency	Establishing a sense of urgency	• Examining the market and competitive realities • Identifying and discussing crises, potential crises, or major opportunities
2. Failing to create a sufficiently powerful guiding coalition	Creating a guiding coalition	• Putting together a group with enough power to lead the change • Getting the group to work together like a team
3. Underestimating the power of vision	Developing a vision and strategy	• Creating a vision to help direct the change effort • Developing strategies for achieving the vision
4. Under communicating the vision by a factor of 10	Communicating the change vision	• Using every vehicle possible to constantly communicate the new vision and strategies • Having the guiding coalition role model the behavior expected of employees
5. Permitting obstacles to block the new vision	Empowering employees for broad-based action	• Getting rid of obstacles • Changing systems or structures that undermine the change vision • Encouraging risk taking and nontraditional ideas, activities, and actions
6. Failing to create short-term wins	Generating short-term wins.	• Planning for visible improvements in performance or "wins" • Creating those wins • Visibly recognizing and rewarding people who made the wins possible

Table 5 (*continued*)

Eight errors of organizational change	Eight-stage change process	Definition of stage
7. Declaring victory too soon	Consolidating gains and producing more change.	• Using increased credibility to change all systems, structures, and policies that don't fit together and don't fit the transformation vision • Hiring, promoting, and developing people who can implement the change vision • Reinvigorating the process with new projects, themes, and change agents
8. Neglecting to anchor changes firmly in the corporate culture	Anchoring new approaches in the culture.	• Creating better performance through customer-and-productivity-oriented behavior, more and better leadership, and more effective management • Articulating the connections between new behaviors and organizational success • Developing means to ensure leadership development and succession

Note. From "Leading Change: Why Transformation Efforts Fail," by J. P. Kotter, 1995 (March/April), *Harvard Business Review*, 59-67, retrieved from http://www.gsbcolorado.org /uploads/general/PreSessionReadingLeadingChange-John_Kotter.pdf.

Defrost. Stages 1-4 address the need to "defrost" the organization in order to get staff ready for the change initiative (Kotter, 2012; Thorsborne & Blood, 2013). During these four stages the leadership is looking to move people beyond what is comfortable to create a sense of urgency to elevate the awareness of the need for change (Kotter, 1995, 2008). They are also developing a group of people who will lead the change, create a vision and strategy for implementation in the direction the organization wants to go, and then in all ways possible communicate the vision and strategy that was created. Communicating the vision can be distributed in many ways; however, the most powerful

way the vision is communicated is when the leadership demonstrates the desired behavior that embodies the change they want to see (Kotter, 2012; Thorsborne & Blood, 2013).

Introduce new practices. During stages 5-7, the focus is to "introduce new practices" to the staff by getting rid and removing obstacles that block the success of the change initiative (Kotter, 1995, 2012). This will take a changing of systems and structures that no longer fit the direction or vision of the change initiative that may involve taking risks (Kotter, 2012). Taking these risks will increase positive outcomes that need to be celebrated, even if the outcome is small.

Ground the changes in the corporate culture. Grounding the change initiative into the culture of the organization is important in order to make these changes "stick" (Kotter, 2012; Thorsborne & Blood, 2013). Kotter's eight-stage change model was chosen as the theoretical framework for this research. Kotter's eight-stage change model identifies clear steps that help answer the research questions.

Resistance to Change

Resistance can be defined as opposing something or someone or refusing to move towards something that is new and different, even to the point of causing problems. Change can be defined as moving from one state to another (Harvey & Broyles, 2010). Resistance to change refers to energies acting in opposition to the successful implementation of a change (Foster, 2008). Both Lewin (1951) and Kotter (1995) addressed the issue of resistance to change in their change models through continual communication of the vision of the change initiative. Communication during a change process can be instrumental in reducing the resistance to change (Elving, 2005). Addressing resistance while creating a sense of urgency will help avert feelings of

anxiety, frustration, and anger from the staff (Kotter, 2008). Research done by Oreg (2006) found a positive correlation between employees who received information regarding the change initiative and their level of resistance to change. This was also associated with the level of trust they felt in relationship with leaders and their ability to lead the change initiative (Erwin & Garman, 2009). If trust was lacking, resistance was high (Oreg, 2006). Another study by M. Washington and Hacker (2005) concluded that when employees felt communicated with regarding the change initiative and the desired outcome of the change, their excitement about the change increased and they believed the change would be successful (M. Washington & Hacker, 2005).

Harvey and Broyles (2010) believed that change had to be planned prior to the implementation phase of a change in order to become institutionalized. Change is a process, and the only way for it to be successful is to follow a change model without skipping steps (Harvey & Broyles, 2010; Kotter, 2012). Harvey (2001) stated earlier in his research that "change without resistance is no change at all, but merely an illusion of change" (p. 34). That being said, it is important to address resistance early during a change initiative through diagnosing and analyzing the sources, strategizing by creating a plan for change, and applying those strategies at the appropriate time (Harvey & Broyles, 2010). In order to further understand resistance that may appear during a change initiative, Harvey and Broyles (2010) suggested addressing the 20 most common resisters change agents encounter prior to initiating a change (see Table 6).

Harvey (2010) created a resistance-based change model based on the 20 sources of resistance. This eight-step, resistance-based change model is similar to Harvey's eight-stage change process.

Table 6

Twenty Sources of Resistance

Sources of resistance	Description
1. Lack of ownership	If you are not responsible for the outcome, via being on a team, you will resist the outcome.
2. Lack of brass support	If those that control resources in upper management do not agree with the change it will not occur.
3. Lack of benefits	Changee does not see the benefit or advantages of the change.
4. Lack of recognition	The lack of celebrating or recognizing the efforts of the staff.
5. Increased burdens	Anything that calls for more time, money or energy will be resisted.
6. Loneliness	Staff is asked to implement a change that few have done before. Support from other colleagues is nonexistent.
7. Insecurity	If this change may jeopardize employment.
8. Norm incongruence	If old norms in the culture haven't been replaced by the new norms of the change.
9. Boredom	Lack of joy.
10. Chaos	Change that poses a challenge to traditions deep in the culture.
11. Superiority	The appearance that one employee is better than another.
12. Differential knowledge	Knowledge is shared unequally amongst staff.
13. Sudden wholesale change	Moving too quickly by skipping steps in the change process.
14. Fear of failure	Working for supervisors who are constantly pointing out things you are doing wrong.
15. Extremes of organizational structure	A lack of balance between authoritative command and total autonomy.
16. Lack of trust/suspicion	You don't trust the person leading the change as you are suspicious of their motives.
17. Ambiguity	The change initiative is unclear.
18. Lack of leadership skills	The leader does not present the skills to lead the change.
19. Inertia	The resistance of any given object to a change in its current state of motion.
20. Referent power	You like the person leading the change but one or more of the previous resisters are present.

Note. Adapted from *Resistance to Change: A Guide to Harnessing Its Positive Power*, T. R. Harvey & E. A. Broyles, 2010, Lanham, MD: Rowman & Littlefield.

Ackerman Anderson and Anderson (2010a) looked at change as an avenue towards improvement, innovation, growth, expansion, and evolution. They went on to suggest that resistance to change is an individual's internal issue in one of these areas that leads to the assumption that any change will result in a bad outcome and that result is intolerable (Ackerman Anderson & Anderson, 2010a). This issue of adapting to change stems from the belief that nothing is wrong with the current status of the organization (Ackerman Anderson & Anderson, 2010a). Ackerman Anderson and Anderson (2010a) also mentioned that in change initiatives, the employees feel like the change is being done to them and not with them, therefore increasing the chances of resistance to change. This resistance stems from the episodic changes that staff have endured that do not root themselves in the organizational culture versus continuous change that becomes a powerful asset (Kotter, 2008). The importance of the leadership defining the desired outcome of the change initiative with the staff is critical in reducing this resistance (Ackerman Anderson & Anderson, 2010a).

Fullan (2001) and Kotter (2012) suggested that resisters are important, as they tend to expose areas that leadership may have not considered regarding the change initiative. Conflict towards a change initiative is positive and demonstrates that change is actually occurring (Fullan, 2016). If a change initiative occurs without resistance, the change may in fact not be occurring. It is important to embrace this caution, especially in educational change when the impact of the change initiative impacts all members of the school community.

Educational Change

According to Fullan (2016), educational change is not about policy; it is about "changing the cultures of classrooms, schools, districts, universities and so on" (Fullan, 2016, p. 8). This occurs when leadership styles shift from a "command and demand" style to one of shared decision making and capacity building (B. L. Anderson, 1993; Fullan, 2016). The goal of educational change is about creating successful systematic change that impacts student achievement and community-based school connectedness for all. With the aim to succeed in systematic educational change, leaders need to have a moral purpose and high expectations, resolute leadership, accountability, and collective and individual capacity building (Fullan, 2016). In order to obtain overall systemic change, the leadership must guide with a moral purpose and high expectations and believe that in the proper setting all staff and students will be successful (Fullan, 2016). In conjunction with the moral purpose is a vision that is clear and steadfast, led by resolute leaders who build a team of individuals committed to student achievement and success in all capacities (Fullan, 2016). It is whole-system improvement that considers the necessary change drivers that will lead towards obtaining the desired change (Ackerman Anderson & Anderson, 2010a; Fullan, 2016). Accountability in educational change focuses on helping to build collective and individual capacity in staff that will increase effectiveness that leads towards a positive outcome (Fullan, 2016). Capacity building refers to a learning process where leadership assists staff in an individual and collective manner to obtain knowledge, new information, and research-based effective practices towards increasing student outcomes on a daily basis (B. L. Anderson, 1993; Fullan, 2016; Owings & Kaplan, 2012). Successful change process builds capacity and

ownership that is focused on influencing and reforming good ideas (Fullan, 2016). Principals cultivate leadership capacity in their teachers when they recognize rising leaders and provide professional development on current educational change issues impacting the school through modeling, coaching, mentoring, listening, and providing opportunities to problem solve (Owings & Kaplan, 2012). These opportunities for teachers build leadership capacity and encourage participation in the leadership team guiding the educational change (B. L. Anderson, 1993; Owings & Kaplan, 2012). To create effective educational change, leaders need to be transformational, communicate with staff, and obtain skills that show relatability and high levels of understanding.

Leadership

Leadership is a social process that involves relationships that are purposeful, have mutual respect, work collaboratively, and provide direction towards a shared goal (Green, 2013; Owings & Kaplan, 2012). Characteristics of good leadership include empathy, support, humility, integrity, optimism, and courage (Owings & Kaplan, 2012). Successful operation of all aspects of the school relies on effective leadership (Marzano et al., 2005). Transactional leadership and transformational leadership are the two most common forms of leadership discussed in the research, when looking at organizational change.

Transactional Leadership

In transactional leadership, the goals and objectives are the primary focus of importance to the leader. These leaders inform followers of the task they want completed, the expectations of that task, directions, and the expected outcome (Bass, 1985; DeHoogh, Den Hartog, & Koopman, 2005). Leaders in a transactional change

reward followers via their social or economic needs and desires in order to reach these goals (Burns, 1978; Green, 2013). In contrast, if the followers do not meet the desired goals of the leader, the choice to exert his or her power to punish may occur (Burns, 1978). In this exchange relationship, the leader chooses whether to dispense a reward or punishment based on the leader's use of power and whether the desired outcome was achieved (Bass, 1985; Nederveen Pieterse, Van Knippenberg, Schippers, & Stam, 2010; Owings & Kaplan, 2012). Transactional leaders focus on job performance of their followers and measure the results through job performance evaluations (Spahr, 2014). They are not focused on followers having innovative ideas. They are more focused on how well they can follow directions to the desired outcome (Nederveen Pieterse et al., 2010).

Within education, principals who are transactional leaders may expect all teachers to follow directions in order to retain their position for the following year. Principals may also reward teachers for joining specific committees or adding additional duties to their day without receiving compensation (Owings & Kaplan, 2012). Followers who do not meet the expectations of a transactional leader may find them to be restrictive and controlling (Nederveen Pieterse et al., 2010). The contrast to this type of leadership is transformational leadership where the focus is on the empowerment and inspiration of followers (R. R. Washington, 2007).

Transformational Leadership

James MacGregor Burns (1978) developed the theory and defined transforming leadership as "a process where leaders and followers help each other to advance to a higher level of morale and motivation" (p. 18). Burns's theory of transforming

leadership encompassed the concept that a leader can learn from their followers, therefore creating a reciprocal relationship (Miller, 2007). Burns (1978) believed that a transforming leader had high ethical standards and performance and thus was a role model for moral character (Owings & Kaplan, 2012). In 1985, Bernard M. Bass expanded this research further, suggesting labeling this type of leadership as transformational instead of transforming (Bass, 1985, 1999; Bass, Avolio, Jung, & Berson, 2003). Transformational leaders are change agents who focus on people and the importance of building positive relationships in order to build trust and commitment from their employees (Avolio, Bass, & Jung, 1999; Miller, 2007). This form of leaderships uses a balanced approach between motivating followers to share in the values and vision of the organization and the willingness to expend the energy to reach the desired outcome (Bass & Avolio, 1994; Leadership-central, 2016). Transformational leaders do not lead as a quest for positional power or control over people (Ackerman Anderson & Anderson, 2010a). This type of leader views their followers as partners in their strategic change efforts (Ackerman Anderson & Anderson, 2010a). In these strategic change efforts, transformational leaders are characterized as humble, charismatic, and passionate, creating a positive influence for employees. They provoke team spirit, are enthusiastic and optimistic, and help followers develop desirable visions for the future (Owings & Kaplan, 2012).

Bass (1985) proposed a six-factor model of transactional and transformational leadership. These six factors were charisma/inspirational, intellectual stimulation, individualized consideration, contingent reward, active management-by-exception, and passive-avoidant leadership (Avolio et al., 1999). Bass and Avolio modified these six

factors to define four components of transformational leadership (Bass, 1999; Bass & Avolio, 1989; see Table 7).

Table 7

Transformational Leadership Components

Transformational leadership components	Description
Idealized influence/charisma	Leader shares the vision and mission with the followers. The leader has the followers' respect, faith, and trust. Radical changes to critical issues are proposed to followers. The leader shows determination and conviction.
Inspirational motivation	Leader increases the optimism and enthusiasm of followers. Leader communicates with confidence, determination, and fluency.
Intellectual stimulation	Leader encourages new ways of looking at old problems in order for followers to become more innovative and creative.
Individualized consideration	Leader gives personal attention to followers and makes each feel valued and important. Leader serves as a coach and a guide through delegating assignments as opportunities for growth.

Note. From "Two Decades of Research and Development in Transformational Leadership," by B. M. Bass, 1999, *European Journal of Work and Organizational Psychology*, *8*(1), 9-32; "Potential Biases in Leadership Measures: How Prototypes, Leniency, and General Satisfaction Relate to Ratings and Rankings of Transformational and Transactional Leadership Constructs," by B. M. Bass & B. J. Avolio, 1989, *Educational and Psychological Measurement, 49,* 509-527.

Bass and Avolio believed that these four components helped move followers away from self-interests and towards the well-being of others though personal attention and coaching (Bass, 1990, 1997, 1999). Transformational leaders are intentional leaders who work to develop authentic relationships with their followers. For this reason, transformational leadership and authentic leadership, at times, are considered synonymous due to the similarities in the way followers are treated.

Authentic Leadership

In 2003, Bill George wrote the book *Authentic Leadership* as a response to the characteristic he believed leaders were missing primarily: to serve their organizations in a genuine manor (George, 2003). Authentic leadership is concerned with how someone feels internally about their leadership (Bishop, 2013). It can be described as an expression of one's inner thoughts, true self, personal experiences, and beliefs (Avolio & Gardner, 2005). An authentic leader is true to who they are no matter what their strengths and weaknesses may be (George, 2003). They build relationships with those they lead based on honesty, trust, and purpose (Owings & Kaplan, 2012). Authentic leaders are leaders who make a difference by empowering others to serve with purpose, meaning, and values (George, 2003). Authentic leaders' words and actions align with their values. Authentic leaders have five dimensions they are constantly developing. These five dimensions of leadership are understanding their purpose, practicing solid values, leading with heart, establishing connected relationships, and demonstrating self-discipline (George, 2003). Authentic leaders are aware of the impact their decisions and behavior have on those they lead (Owings & Kaplan, 2012). It is important for an authentic leader to share their vision and perspective in a change process with those they serve in order to demonstrate their confidence and to establish themselves as consistent and optimistic (Owings & Kaplan, 2012). In this pursuit of leadership, purpose, values, relationships, self-discipline, and heart are skills that authentic leaders develop (George, 2003; Owings & Kaplan, 2012).

High School Principals

The "Professional Standards for Educational Leaders" (2015) are 10 leadership responsibilities that guide school-level leadership, such as a principal or assistant principal (National Policy Board for Educational Administration [NPBEA], 2015). The principal, in most high schools, is considered the highest level of educational leader. The primary role of the principal is to implement educational policy, impact school climate, ensure safety, create a positive educational culture, and increase student achievement (Owings & Kaplan, 2012; Rousmaniere, 2013). Standard 5 addresses the importance of this role through cultivating the type of school community where students and teachers feel safe, included, respected, and cared for (NPBEA, 2015). Too often, the burden of success or failure in the school community is determined by the decisions made by the principal (Spillane, 2009). For this reason, most principals share duties with a team of administrators, consisting of assistant principals, vice principals, learning directors, and in some cases school counselors, who implement the necessary change initiatives decided by the principal (University Alliance, 2016). This team of administrators facilitates the implementation of change initiatives by developing a team of fellow administrators, teachers, and paraprofessionals.

A study conducted by Marzano et al. (2005) also identified 21 responsibilities of school leadership and their alignment with student achievement that were separate from the educational leaders' standards. These consist of affirmation; change agent; contingent rewards; communication; culture; discipline; flexibility; focus; ideals/beliefs; input; intellectual stimulation; involvement in curriculum, instruction, and assessment; knowledge of curriculum, instruction, and assessment; monitoring/evaluating; optimizer;

order; outreach; relationships; resources; situational awareness; and visibility (Marzano et al., 2005). For the purpose of this study, nine of the 21 responsibilities were key in the implementation of restorative practices as a transformational change: change agent, communication, discipline, focus, input, monitoring/evaluating, optimizer, relationships, and situational awareness. The first need of the high school principal is to serve as the change agent who is willing to challenge the current status of the school's policies, procedures, and practices. Second, developing strong lines of communication is vital to the success of the change initiative. Effective communication has been described as the "glue" to which the 21 responsibilities adhere (Scribner, Cockrell, Cockrell, & Valentine, 1999). Third, it is important to protect teachers and students from discipline issues that will disrupt the learning environment (Marzano et al., 2005). Focus is the fourth responsibility a principal needs for delivering a clear, concise, and consistent mission and goals to the change initiative (Fullan, 2001). Principals' use of teams and gathering their input is important when implementing new policies and procedures (Harvey, 2001; Harvey & Drolet, 1997; Marzano et al., 2005). Professional development or a staff-wide book study is a way principals can provide new learning opportunities that create intellectual stimulation. Once these teams are formed and professional development for new learning opportunities has occurred, it is important for principals to monitor and evaluate feedback. Monitoring feedback can increase the ownership and shared vision of the team in order to continue moving forward in the change process (Fullan, 2016). As previously mentioned, principals need to be transformational leaders or optimizers to increase the chance of a change initiative becoming embedded in the school culture. A transformational leader focuses on building trusting relationships by showing support and

care for the staff in order to optimize the outcome of the change initiative (NPBEA, 2015; Rafferty, 2003). Finally, principals implementing a change initiative must become aware of situations, shifts, or groups within the culture that may not agree with the change initiative. In order to avoid the momentum of a resistant group, for example, administrators can schedule a meeting in order to bring to light their questions, concerns, and comments, thus giving them an opportunity to be heard.

Summary

The purpose of this chapter was to provide an overview of initiatives in education that impact the social-emotional learning, culture and climate, and safety of staff and students. Restorative practices is a new process that school districts are using as an alternative to suspension. In order for this process to be implemented in school districts, it was important to look at initiatives in education over the past 10 years and learn from the successes and failures of those initiatives. Looking at change models previously used in educational change helped the researcher choose Kotter's eight-stage change theory as the theoretical framework for this study.

A gap in research still exists in the perceptions of principals to the resistance met during the implementation phase of restorative practices. As many school districts in California search for processes they can implement that are an alternative to suspension, like restorative practices, it is important to address this gap in the research. Gaining the perspectives of those that implement the change is crucial to the success of implementing restorative practices as a change initiative.

CHAPTER III: METHODOLOGY

Overview

This chapter outlines the methodology used in order to answer the two research questions pertaining to the implementation phase of restorative practices and the resistance encountered during this change. First, the purpose statement provides the reasoning for the study as well as two research questions that attempt to address the current issue being explored. Second, this chapter presents the research design, population and sample, instrumentation, data collection procedures, and data analysis process conducted for this study. Finally, the chapter addresses the limitations of the study and concludes with a summary. Approval from the Brandman University Institutional Review Board was obtained prior to data collection for this study.

Purpose Statement

The purpose of this qualitative case study was to explore and describe the perceptions of high school principals in three Central and Northern California school districts on the implementation of restorative practices and resistance to change through the theoretical lens of Kotter's eight-stage change model.

Research Questions

The following two research questions direct this research study. The first question was developed to capture the perceptions of high school principals during the implementation of restorative practices and its impact on the social-emotional learning in three Central and Northern California school districts through the lens of Kotter's eight-stage change model. The second question collects the perceptions of high school

principals on the resisters to change that may have impacted the implementation of restorative practices.

1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?
2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?

Research Design

According to Yin (2014), research design refers to "a logical plan for getting from here to there, where here may be defined as the initial set of questions to be answered, and there is some set of conclusions (answers) about these questions" (p. 28). The purpose of this logical plan in research design is to ultimately answer the research questions for the study (Yin, 2014).

Qualitative research was defined by Ravid (2011) as "research that seeks to understand social and educational phenomena" (p. 5). In qualitative research, the researcher focuses on cases that can be studied using multiple data sources for triangulation through interviews, observations, and field notes (Ravid, 2011). In order to capture these qualitative data, a descriptive case study was conducted. A case study describes a phenomenon that occurs within the real-world context in its natural setting (Yin, 2009). Bromley (1986) described case study as "the study of a phenomenon within its real-world context that favors the collection of data in natural settings" (p. 23). For the purpose of this study, the case study method was used to answer descriptive and

explanatory questions that focus on the what, why, and how the research occurred during the implementation of restorative practices (Yin, 2011). A case study is anchored in real-life situations and offers insights and illuminates the rich account of experiences that can help structure future research (Yin, 2011, p. 51). The purpose of conducting a descriptive case study was to understand further, via interviews and general observations, the perspectives of high school principals in order to capture the shared experiences in the implementation of restorative practices using Kotter's eight-stage change model as the theoretical lens.

Population

McMillan and Schumacher (2010) stated population includes a group that conforms to specific criteria where the results of the research can be generalized (p. 129). The target population extends this definition to the individuals or group the research findings intended for generalizability (McMillan & Schumacher, 2010). The population for this study was school districts in the United States where restorative practices were implemented or are currently in the implementation stage. The target population of this study was school districts in California where restorative practices had been implemented. McMillan and Schumacher (2010) defined survey population as "the list of elements from which the sample is actually selected" (p. 129). The survey population was limited to school districts in Central and Northern California that implemented restorative practices. Though other school districts fit this description, only three in Central and Northern California were chosen as the sample frame. The results of this case study may be generalizable to all school districts in California that are implementing or have implemented restorative practices.

Sample

According to McMillan and Schumacher (2010), a sample is referred to as "the group of subjects or participants from whom the data are collected" (p. 129). For the purpose of this case study, purposeful sampling was the qualitative research design used. According to Patten (2012), purposeful sampling is used to select individuals who the researcher believes will be good sources of information (p. 51). Michael Patton (2015) described purposeful sampling as "cases for study that illuminate and offer useful manifestations of the phenomenon of interest" (p. 46). Yin (2014) suggested that purposeful sampling is "based on the assumption that the investigator wants to discover, understand, and gain insight and therefore must select a sample from which the most can be learned" (p. 77).

In order to meet particular elements of this study, purposeful sampling was conducted to gain insight from high school principals in three Central and Northern California school districts where restorative practices have been implemented. The criteria for the sample size participants from these three districts were the following:

1. Central and Northern California school district
2. School site principal in one of the three school districts
3. Principal of a population of 1,600 to 3,000 students
4. Implemented restorative practices

After receiving IRB approval, directors of data and research in the three designated counties were contacted by e-mail and a follow-up phone call to request the participation from at least two to four high schools within each district, totaling 10 participants in the sample size. E-mail addresses and phone numbers were available on

the school district website. When contacted, the researcher submitted the request for research application and all supporting documents to each school district. Once approval to begin research was obtained by the researcher from the school district data and research director, contact was initiated via e-mail with all high school principals in each school district. High school principals who were interested in the research responded to the researcher via e-mail with an interest confirmation e-mail.

Instrumentation

The researcher established a synthesis matrix of the research (see Appendix A) to develop interview questions as the instrument for this study that would identify the use of Kotter's eight-stage change model in the implementation of restorative practices. Questions were developed around each of the eight stages in order to draw out the themes of urgency, guiding coalition, vision, communicating the change, empowering broad-based action, generating short-term wins, producing more change, and anchoring the culture in the new change (Kotter, 2012). Second, questions were developed to draw out resistance to change that may have occurred during the implementation phase of restorative practices. Finally, all questions were developed using the literature review matrix and outline for the Chapter II variables (see Appendix A) and the need for further research in this area.

Interviews and artifacts were the data collection instruments used for this case study. DeMarrais (2004) defined an interview as "a process in which a researcher and participant engage in a conversation focused on questions related to a research study" (p. 55). Case study interviews meet the need to satisfy the line of inquiry of the researcher as

well as putting forth friendly and nonthreatening questions in the open-ended interview (Yin, 2014, p. 110).

According to Merriam (2009), artifacts are "things or objects in the environment differentiated from documents that represent some form of communication" (p. 139). Merriam defined observation as a research tool "when it is systematic, when it addresses a specific research question, and when it is subject to the checks and balances in producing trustworthy results" (p. 118).

Characteristics of the Researcher

According to Merriam (2009), in qualitative research "the researcher is the primary instrument for data collection and analysis since understanding is the goal of this research" (p. 15). Yin (2014) suggested that the researcher have desired attributes such as the ability to ask good questions, being a good listener, staying adaptive, having a firm grasp on the issues being studied, and avoiding biases in order to conduct research ethically (p. 73). For this purpose, it is important to have specific characteristics as the interviewer such as the ability to build rapport, having experience conducting interviews, and having a college degree and/or content knowledge in the field of study (McMillan & Schumacher, 2010, p. 207).

Prior to data collection, the researcher examined these specific qualifications. The researcher has been a professional school counselor for 18 years. During this time, the researcher has continued to refine her listening skills, the ability to adapt to change, and the ability to look at each issue through an ethical lens. The researcher has also learned the importance of building relationships and sustaining rapport in those relationships in order to foster and build trust and maintain confidentiality with all clients.

The researcher also explored her own experience in order to become aware of personal prejudices, viewpoints, and assumptions (Yin, 2014, p. 25). In order to expose any prejudices, viewpoints, and/or assumptions, the researcher met with a trusted cohort of educators. This cohort asked the researcher specific questions regarding the research topic and research questions and conducted scenarios as a method of exposure. The researcher took the information from this meeting and notated what surfaced in a field notes journal for quick reference.

Validity

For data triangulation, interviews, general observations, and artifacts were collected. According to Yin (2014), "Data triangulation helps to strengthen the construct validity of your case study" (p. 121). Several measures were taken to assure internal reliability including a field-test, definitions of common terminology used, an opportunity for participants to see interview transcripts of their answers, and practiced observations. Additional measures of validity addressed the interview questions. The researcher sent the interview questions to a doctor of education for expert review prior to sending them to the participants. Once these questions were adjusted, based on expert recommendations from the doctor of education, all participants received the set of questions prior to their scheduled interview in order to provide an opportunity to build trust between the researcher and participants.

A field-test was conducted with three school-site principals from school districts outside of this study's population and participants. Interview questions were given in advance and asked in the same order with all three pilot group members. Questions were

altered and modified based on the responses and clarifying questions asked by this field group.

The field-testing allowed the researcher to make necessary modifications to the interview questions' verbiage and order prior to the scheduled meetings. Second, common terminology was established based on feedback from the field-test group. Clear definitions of each term were defined and modified as needed. Third, after each field-test interview, the interviewee was given the opportunity to see his or her responses to each survey question in order to ensure interrater reliability. Finally, the researcher spent time observing several venues to practice taking field notes of what she observed.

Reliability

According to Yin (2014), reliability is defined as "the consistency and repeatability of the research procedures used in a case study" (p. 240). To ensure reliability, each participant received an e-mail and telephone call explaining the study and reviewing the interview questions, the interview schedule, and protocol prior to conducting the interviews. Potential probing topics were also included in the interview protocol as an opportunity to ask for more "detail, clarification or examples" regarding the participants' responses (Yin, 2014, p. 101). At this time, participants were able to ask questions regarding the study and schedule their appointment time for the interview based on availability. For consistency, the interview protocol was used as a guide and to establish procedures that would be used as the interview framework. To increase this consistency, all interview questions were asked in the same order, without modifications, with each participant.

Data Collection

The Brandman University Institutional Review Board (BUIRB) reviewed and approved this research prior to data collection (see Appendix B). All participants were informed for confidentiality purposes in advanced that all responses to interviews, artifacts collected, and general observations would not identify the individual or the individual school site. Protecting the anonymity and confidentiality of participants was of primary importance.

Human Subjects Protection

Since all case studies are about human affairs or actions (Yin, 2014, p. 78), protection of human subjects was conducted in this study. Yin (2014) stated several items need to be addressed in order to perform a study with special care and sensitivity. These are gaining informed consent, protecting participants from harm or deception, protecting privacy and confidentiality, taking special precautions, and selecting participants equitably (p. 78).

Upon identification of the principals designated as involved with the implementation of restorative practices, an informational letter describing the study and requesting participation in the study was sent via e-mail (see Appendix C). All participants were provided an informed consent form, agreeing to be interviewed and recorded via audio recorder as well as the efforts made by the researcher to protect the confidentiality of all participants (Appendix D). Participants were reminded of the voluntary nature of their participation. Additionally, participants were reminded that all information that included personally identifiable information would be kept confidential and would be destroyed upon completion of the research. The researcher took further

measures to protect the confidentiality of participants by coding each participant in the order of the interview schedule and removed all references to the school site or participant from the transcription notes (e.g., High School Principal 1 as HSP1). Finally, participants were notified of their right to not answer any of the interview questions and/or request to not participate at any time during the interview.

Interviews. In order to conduct this study, open-ended, semistructured interview questions were used as the instrument for data collection. McMillan and Schumacher (2010) described semistructured interview questions as "open-ended questions that are fairly specific in its intent" (p. 206). Interview questions were created in advance and placed in a predetermined order by the researcher. The interview questions contained information that would directly answer the two research questions regarding the implementation of restorative practices and the resistance met during the implementation. Interviews were conducted, face to face, as Patton (2015) suggested, in order to "find out from them those things we cannot directly observe and to understand what we've observed" (p. 426). Interviews were scheduled based on the principals' availability. Interviews were offered after school hours in order to accommodate the preference of the participants. A phone interview option was offered to each participant as an alternative to face-to-face interviews if this suited their individual schedule preference. Each interview was scheduled in 1-hour increments with an additional half hour reserved for review of interview responses by the participant. This gave the respondent an opportunity to "read the answers and make additions and corrections where appropriate" (McMillan & Schumacher, 2010, p. 206).

Interview procedures. Qualitative samples are typically smaller, ranging from one to 40, in order to collect information-rich data that relate to the purpose and research questions (McMillan & Schumacher, 2010, p. 328). Initial contact consisted of contacting via e-mail and submitting a request for research with each district coordinator of data collection and research in each school district. The purpose of this initial contact was to explain the case study and request the e-mail addresses of all high school principals where restorative practices was implemented. Once e-mail addresses were obtained, an e-mail invitation was sent to all high school principals. Once e-mail responses were received, all who requested further information were contacted via telephone numbers that potential participants provided. Figure 4 is a visual interpretation of the interview process and data collection.

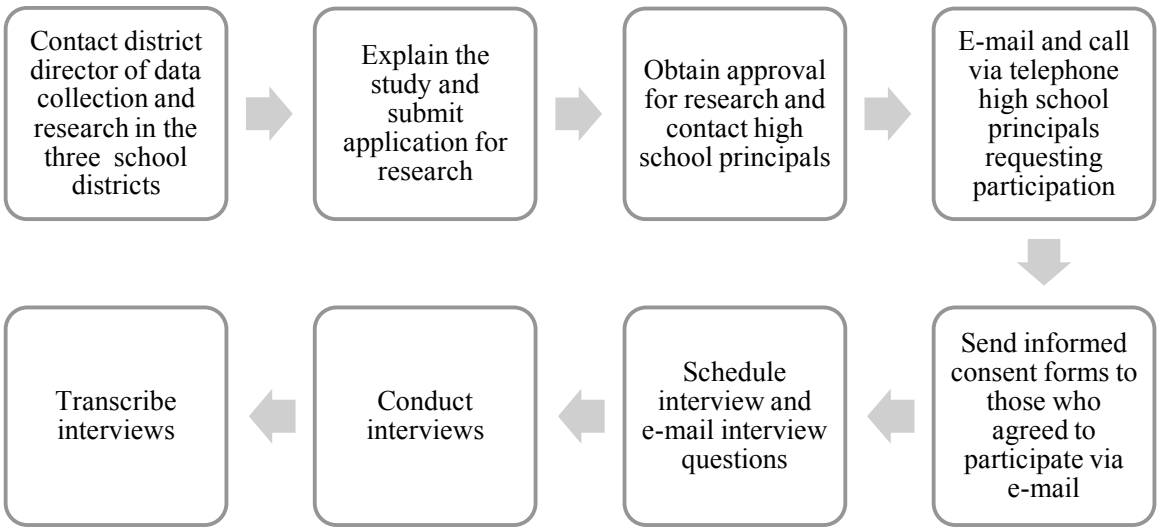

Figure 4. Interview data collection process.

Artifacts

Artifacts, in the form of student and faculty handbooks, were collected from each school where a site administrator was interviewed prior to the interviews. The researcher

assessed the authenticity and accuracy of each handbook as part of the research process based on the date it was written and the author (Merriam, 2009, p. 151). The researcher reviewed these handbooks to gain familiarity with the campus prior to the site visitations. This process allowed the researcher to examine the vision and mission of the school site as well as the common language used across all three school districts.

Observations

According to Patton (2015), "The major purpose of observation is to see firsthand what is going on rather than simply assume we know. We go into a setting, observe, and describe what we observe" (p. 331). General observations were conducted based on Kotter's eight-stage change model by thoroughly reviewing each school district's website. General observations were made based on information collected from each school district's website. The analysis of these three data collection methods and the preferred way to analyze data simultaneously with data collection is the next section to be discussed (Merriam, 2009, p. 171).

Data Analysis

According to McMillan and Schumacher (2010), "One characteristic that distinguishes qualitative research from quantitative research is that the analysis is done during data collection as well as after all the data have been gathered" (p. 367). Qualitative research data collection methods were used for this descriptive case study. Interviews, artifacts, and observation data analysis followed the qualitative data analysis pattern of recording, looking at the data, coding and categorizing, then looking for patterns and themes (McMillan & Schumacher, 2010, p. 368). Throughout the data

analysis process, the researcher referred back several times to the research questions as the primary focus of this study.

Procedural Guide for Analysis

Once most data have been collected, it is important to organize data in a system of inventory, organizing and coding for easy retrieval (Merriam, 2009). All data collection of interviews, artifacts, and observations followed the same procedural guide for analysis (see Figure 5).

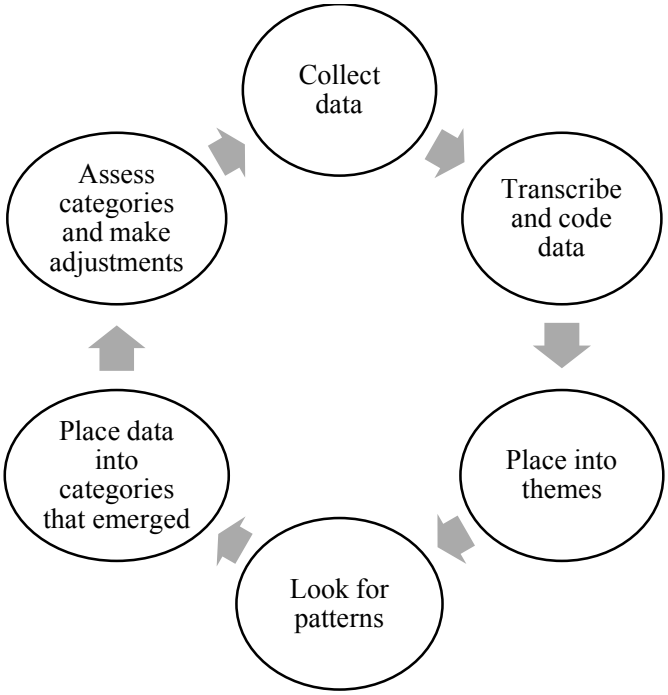

Figure 5. Procedural guide for analysis-visual representation.

Interviews were recorded via an audio voice recording app using an iPad and iPhone for backup. Interviews were analyzed, transcribed, and coded using NVivo to determine themes and patterns from the data. Once themes and patterns were determined, the transcribed codes were placed into common categories. According to McMillan and Schumacher (2010), interrater reliability is determined when "two or more

persons agree about what they have seen, heard, or rated" (p. 182). In order to ensure interrater reliability, the researcher transcribed the data and then shared them with a cohort member to compare themes and patterns that emerged.

In order to ensure the authenticity of the artifacts collected, the researcher asked specific questions at each site where documents were collected. The following questions were asked in order to authenticate the artifact:

1. What year was this documented created?
2. Has this document been edited or altered since its creation?
3. Who is the author?
4. Does this document resemble current practices at the school site?
5. Who is the intended audience for this document?

Observation data were analyzed and transcribed prior to coding via NVivo to determine themes and patterns. Themes and patterns were placed in categories based on commonalities. The interview codes and observation codes were then compared to draw out common themes for triangulation. In-depth data analysis and findings are further discussed in Chapter IV.

Limitations

As with all research studies, limitations can occur and can be expected. This case study is no exception to limitations. Three limitations occurred during this case study: random sampling did not occur, small sample size, and participant interview responses. Due to the limited school districts in California implementing restorative practices, participants were chosen from the three identified school districts of this study. This led to purposeful sampling versus random sampling. Second, the sample size was small,

which may limit the generalizability to other populations from the research findings. Finally, the findings are limited to the responses from the participants. Participants' candor in responses may have been limited due to wanting to positively influence the research and researcher.

Summary

The purpose of this chapter was to provide an overview of the methodology used for the case study regarding the implementation of restorative practices and the resistance met during the implementation through the theoretical lens of Kotter's eight-stage change model. This chapter described the purpose, research questions, research design, population, and sample. Also described in this chapter was the instrumentation used, data collection and analysis, and limitations met. Chapter IV follows this chapter by specifying the data collection results of this study.

CHAPTER IV: RESEARCH, DATA COLLECTION, AND FINDINGS

Overview

The findings from the research exploring the perspective of high school principals and resistance met during the implementation of the change initiative restorative practices are examined in this chapter. This chapter summarizes the data findings from 10 interviews of high school principals in three Central and Northern California school districts. This chapter also includes a review of the purpose of the study, research questions, and research methodology. The data collection and data analysis follow these sections in the form of tables depicting themes and patterns from each interview. This chapter concludes with an overall analysis of themes and patterns from all 10 interviews.

Purpose Statement

The purpose of this qualitative case study was to explore and describe the perceptions of high school principals in three Central and Northern California school districts on the implementation of restorative practices and resistance to change through the theoretical lens of Kotter's eight-stage change model.

Research Questions

1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?
2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?

Research Methods and Data Collection Procedures

This descriptive qualitative case study used open-ended, semistructured interview questions to explore and describe the perceptions of high school principals on the implementation of restorative practices as a change initiative through the lens of Kotter's eight-stage change model. Furthermore, interview questions attempted to discover any perceived resistance that may have occurred during the implementation phase of restorative practices. Even though studies have been conducted in the research of restorative practices as a change initiative, research has not been conducted exclusively to capture the perception of high school principals regarding its implementation. For this reason, high school principals are the subjects of this research.

The interviews entailed 12 main questions developed using Kotter's eight-stage change model as the theoretical framework with additional probing questions if needed during each interview. Interview Questions 1 and 2 as well as the corresponding probing questions were designed to answer Research Question 1 in determining the reasoning behind the implementation of restorative practices. Interview Question 3 was designed to answer Research Question 1 to determine if the high school principal created a team to support the implementation of restorative practices. Interview Questions 4 and 5 were designed to discuss communication of the vision of restorative practices during the implementation in support of Research Question 1. Interview Question 6 was designed to answer Research Question 2 in order to capture any perceived resistance met during the implementation of restorative practices. Interview Questions 7 and 8 were developed to answer Research Question 1 regarding celebrating small wins and staff training during the implementation of restorative practices. Interview Question 9 was developed to

answer Research Question 1 in promoting the use of restorative practices during the implementation phase. Interview Question 10 was developed to answer Research Question 1 pertaining to the ability to recognize if restorative practices had become embedded into the school culture through the implementation. Interview Questions 11 and 12 were designed to add any additional comments or information the participant wanted to add to the interview that would answer either Research Question 1 or 2 (see Table 8).

Table 8

Alignment of Interview Questions with Research Questions

Research question	Interview question
1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?	Question 1 Probing question a & b Question 2 Probing question b Question 3 Probing question a & b Question 4 Probing question b Question 5 Probing question b Question 7 Question 8 Probing question b Question 9 Question 10 Probing question a Question 11 Question 12
2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?	Question 6 Probing questions a, b, & c Question 11 Question 12

Once approval was obtained by each district's data and research department, potential participants were contacted, via e-mail, requesting their participation in the study by both the districts data and research director and the researcher. Participants who agreed to participate were sent an informational letter regarding the nature of the study, the informed consent for participation, and the Brandman University Research Participants Bill of Rights (see Appendix E). Once reviewed and confirmation of their approval to participate was obtained, each participant received the interview protocol (see Appendix F) and all interview questions in the exact wording and order they would be asked. Participants returned the signed informed consent paperwork to the researcher either in person or via e-mail, agreeing to be audio recorded during the interview. Interviews were scheduled to be conducted in person or via telephone upon the participant's request. Interviews were recorded using an application on an iPad to ensure the quality of the recording. Interviews were immediately sent using the same application from the iPad for professional transcription. The transcriptions of the interviews were reviewed by the transcriber, researcher, and participants to ensure accurate responses were captured. Interviews were then uploaded to NVivo coding software used for qualitative research data analysis. Each interview transcription was coded individually to draw out themes and patterns. To ensure interrater reliability, the coding of the same interview transcripts was given to a doctor of education for analysis in order to increase accuracy. The researcher and doctor of education compared results and agreed that the percentage of accuracy was high and interrater reliability was met.

Population and Sample

Participants for this research were high school principals currently employed in Fresno, Kern, or Sonoma Counties as the sample frame. Criteria for the participants included currently being a high school principal located on the school site. These participants met the criterion of having a student population of 1,600 to 3,000 students. The final criterion was that the high school was in the implementation phase or had implemented restorative practices. This group of high school principals met the criteria and characteristics needed to participate in this study.

For the purposes of this case study, purposeful sampling was the qualitative research design used. In order to meet particular elements of this study, purposeful sampling was conducted to gain insight from high school principals at three Central and Northern California school districts where restorative practices have been implemented. According to Patten (2012), purposeful sampling is used to select individuals who the researcher believes will be good sources of information (p. 51). Michael Patton (2015) described purposeful sampling as "cases for study that illuminate and offer useful manifestations of the phenomenon of interest" (p. 46). Yin (2014) suggested that purposeful sampling is "based on the assumption that the investigator wants to discover, understand, and gain insight and therefore must select a sample from which the most can be learned" (p. 77).

The researcher chose to include at least two to four high school principals from each of the three counties of interest, Fresno, Kern, and Sonoma. The sample size for this case study consisted of a total of 10 participants. Table 9 places all 10 participants in

order of interview schedule, breakdown of location in the state, and county represented (see Table 9).

Table 9

Description of Participants

Participant	School location in California	County	School level
Participant 1	Central	Fresno	High school
Participant 2	Central	Fresno	High school
Participant 3	Northern	Sonoma	High school
Participant 4	Northern	Sonoma	High school
Participant 5	Central	Kern	High school
Participant 6	Central	Kern	High school
Participant 7	Central	Kern	High school
Participant 8	Central	Kern	High school
Participant 9	Central	Fresno	High school
Participant 10	Central	Fresno	High school

Presentation and Analysis of Data

In order to draw out themes and patterns, the data collected were analyzed and studied through individual examination of each participant responses. To protect participants' confidentiality, a numerical identifier was assigned to each participant in the order interviews were conducted. Once individual interviews were transcribed and analyzed, the data were organized in reference to each research question. Tables were

created for each individual interview to draw out common themes and patterns amongst all responses from the 10 participants.

Data Analysis by Participant

Participant 1. Participant 1 was a high school principal at a high school in Fresno County. Table 10 summarizes Participant 1's responses by themes and patterns related to the two research questions.

Research Question 1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?

Participant 1 expressed the importance of constant communication with staff during the implementation phase of restorative practices. Participant 1 also mentioned the importance of creating a sense of urgency through this communication for the need of this change initiative. Participant 1 felt it was important to create a team that would create a shared vision for the change initiative and would help in the communication process of this vision to all staff. Communication surrounding this change initiative was focused on the importance of relationship building by being "persistently consistent." This was emphasized as the importance for teachers to form connections with students.

Participant 1 felt it was important to invite staff into this change initiative by asking if they were "willing to learn new ways to deal with student behavior." Participant 1 also stated the importance of staff seeing this change initiative as "best teaching practices." Participant 1 stressed the importance of inviting teachers into the process during the implementation phase. Participant 1 believed this would lead to

opportunities for celebrations along the way. Important celebrations during the implementation phase included opportunities to create team and staff building.

Table 10

Participant 1: Themes in Response to Research Questions

Research question	Theme identified
1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?	• Constant communication with staff was vital to implementation • Important to create a sense of urgency • Climate and culture team created to constantly communicate the shared vision • Communicate the importance of this change initiative • Importance of relationships • Be persistently consistent • Collaboration daily is crucial • Important to lead by example • Empower others for success along the way • Need for increased communication with students and parents • Celebrations along the way for team and staff building • Asking teachers to be willing to learn new ways of dealing with student behavior • Encourage seeing the change initiative as best teaching practices • Important to increase student voice during implementation • Important to form connections with students
2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?	• Teachers not wanting to meet with students to repair relationships • High staff turnover • Really new teachers who do not have experience with change • Staff frustrated with the change of an old discipline model • People are people and I don't react to it • Teachers feeling helpless and hopeless • Frustration with the processes in restorative practices • Change initiative seen as a scapegoat program • Refusal to participate in the practices with students (e.g., class meetings)

Finally, Participant 1 stressed the importance of increased communication with parents and students regarding the change initiative and the processes associated with it. Participant 1 believed that through the implementation of restorative practices there was an increase in student voice on campus.

Research Question 2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?

Participant 1 perceived resistance with the same teaching staff in the refusal to participate in the practices associated with restorative practices especially when it involved meetings with students to repair harm done. Participant 1 perceived resistance came from the classroom in the refusal of teachers' willingness to participate in specific restorative practices (e.g., class meetings) that would encourage student participation and student voice. Participant 1 associated this with the high teaching staff turnover that occurred during the implementation years. Participant 1 attributed this resistance to their lack of teaching experience as well as their experience with change initiatives being limited.

Participant 1 believed resistance came in the form of frustration that restorative practices was just a "change of an old discipline model." Teachers reported that restorative practices was seen as a "scapegoat" program for the excusing of student behavior.

Participant 2. Participant 2 was a high school principal at a high school in Fresno County. Table 11 summarizes Participant 2's responses by themes and patterns related to the two research questions.

Table 11

Participant 2: Themes in Response to Research Questions

Research question	Theme identified
1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?	• A need to reduce suspension and expulsion rate disproportionality of students of color • District personnel told the principal she would be implementing without principal being in on the thought process • Very important to establish a team for implementation • Establish a location for collaboration • Clear communication regarding the importance of relationships • Intentional in marketing • Offer a great deal of professional learning • Entire staff book read of *Mindset* • Use of class meetings to promote change initiative • Focus more on the importance of relationship building with both staff and students and less focus on the change initiative • District provided trainings • Model practices for staff in multiple settings on campus • Model by owning mistakes • Student leadership help with the communication of the vision of the change initiative • Kindness campaign • Create a culture of learning for staff and students during the implementation • Create clear structures and opportunities for exposure
2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?	• Lack of a clear vision of the expectations for implementation • Restorative practices language is negative in general • Students are just getting a free pass for discipline • Teachers refusing to participate in the restorative circles

Research Question 1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?

Participant 2 perceived the purpose of the implementation of restorative practices was to focus on the disproportionality with students of color in regard to reducing suspension and expulsion rates. Participant 2 believed it was important to create a team that would work in collaboration with Participant 2 in the implementation of restorative practices. This team's focus was clear communication to all staff members regarding the focus of this change initiative on building relationships. Through this, a great deal of professional learning was offered, including a staff-wide book study of *Mindset* by Carol Dweck (2006), to promote the implementation. This allowed for the creation of clear structures and opportunities for exposure to restorative practices.

Participant 2 stressed the importance of using class meetings as a way to promote restorative practices to staff and students. Participant 2 believed this would help promote a "culture of learning" for both staff and students. This would also promote relationship building within the classroom setting without the explicit focus on the change initiative. Participant 2 enlisted the help of student leadership members to help communicate the vision of restorative practices. Within this, student leadership led activities that would promote the implementation of these practices as well as increase student voice.

Participant 2 stated that the most important part of the change initiative was to "model the practices in multiple settings on campus." Participant 2 stated it was also important not just to model when the practices succeed but also to model how to repair and own mistakes that may occur during implementation.

Research Question 2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?

Participant 2 believed that initial resistance came in the lack of vision created at the district level of the expectations for implementation of restorative practices. Personally, Participant 2 felt frustrated when told restorative practices would need to be implemented at the site by district leaders without any collaboration. Further frustration came when Participant 2 was told that a designated counselor for restorative practices would be assigned to the school site without Participant 2 meeting or interviewing the individual.

Some staff found that the language around restorative practices was "negative in general" and that restorative practices meant that students would get a "free pass" for discipline issues. Teachers believed that restorative practices meant that no consequences would be assigned to a student who was a discipline issue in their classroom. Further resistance also came in the form of teachers refusing to participate in the actual practices of restorative circles with students to repair harm.

Participant 3. Participant 3 was a high school principal at a high school in Sonoma County. Table 12 summarizes Participant 3's responses by themes and patterns related to the two research questions.

Research Question 1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?

Table 12

Participant 3: Themes in Response to Research Questions

Research question	Theme identified
1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?	• Outside agency contacted district concern for disproportionality of students of color suspension and expulsion rates • Expelling kids at an alarming rate prior to implementation • Changes in state law • Work with students to keep them in school • Build relationships • Focus on adolescent brain development • Data collection • Formally started using restorative practices before it was a district initiative • Started by working with families • Team at the district-level "task force" • Created a site-based team • Vision was "community, relationships, and understanding" • Gave a change for people to understand each other • Created a culture for opportunities to be heard and understood • Communication from the district office to sites • Intentional restorative language used during implementation • Hiring of additional staff members to support the implementation • Intentional change to the discipline policy to include restorative practices steps • Importance of inviting teachers and students into the process • Engage people in more hands-on practice • Change in school culture • High level of soft skills from staff • Include families in the practices • Including parents in the implementation through meeting invitations • Asking curious questions: "How am I helping the kid learn?" "Are we building relationships?"

Table 12 (*continued*)

Research question	Theme identified
	• What do relationships look like between teachers and students after an incident? • Important to provide training to staff with role plays of practices • Open lines of communication during the implementation • Share information as much as possible • Have conversations surrounding other success stories (leaving out identifiers) of restorative practices and invite teachers into the process • Expose staff to the reality of issues our students are facing • Embedded in the culture • Feedback loop to teachers • Use of a reflection tool to gain students' perspective
2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?	• Teachers not taking the time to read district office e-mails regarding the status of the implementation • A gap in the way information was being heard and received by all staff • Lack of understanding of restorative practices • Teachers wondering what the expectations of restorative practices in the classroom look like • Lack of feeling supported • Lack of trust that student behavior will change after restorative practices have been used • Restorative discipline is not harsh enough • Parents want more discipline for their child then what is assigned by the school • Feeling unsupported by the administration • Concern that teacher voice will be heard

Participant 3 described urgency towards implementation as a response to an outside agency contacting the district regarding the disproportionality in suspension and

expulsion rates for students of color. Participant 3 perceived the urgency of the implementation on a personal level, as the rate of expelling students was at an alarming rate. A task force was created at the district level to begin exploring restorative practices.

Building relationships with students as the primary focus led Participant 3 to take the initiative of implementing restorative practices prior to it becoming a district initiative. Participant 3 started this implementation with students and their families prior to full implementation at the school site. Once Participant 3 saw success with students and their families, the implementation began at the school site. This implementation began with the creation of a team to guide the implementation consisting of the principal, assistant principal, child welfare and attendance specialists, and teachers. This team created a vision based on three principles of "community, relationships, and understanding." This vision gave an opportunity to create a culture for opportunities for all to be "heard and understood."

Intentional restorative language was used during implementation. This was communicated via district office meeting minutes. Participant 3 stated that the district was intentional in changing the district discipline policy to include restorative practices steps. This led to the need to hire additional staff to increase the support of implementation of these restorative steps. During implementation, these additional staff members helped to invite teachers and students in the restorative process. This helped engage staff in the "hands on" practices. These invitations led to conversations amongst staff that would include asking curiosity questions such as "How am I helping this kid?" and "Are we building relationships?" Participant 3 stated these curiosity questions led

staff to look at their relationships with students after an incident occurred and they had participated in the restorative process.

Trainings and opportunities to watch and participate in role play was a huge factor in the implementation phase according to Participant 3. This created open lines of communication and opportunities for Participant 3 to share information with staff regarding the reality of issues "our students are facing." Participant 3 encouraged conversations surrounding success stories to be shared with staff as well as invitations to teachers to be a part of the restorative process. This feedback loop to teachers is helping to embed restorative practices in the culture according to Participant 3.

Research Question 2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?

Participant 3 recognized early on that resistance came in the form of teachers not reading their e-mails regarding this change initiative in a timely manner. This led to a gap in the way information was being heard and received by all staff and, as a result, a lack of understanding of restorative practices.

Teachers wondered what the expectation of restorative practices looked like in the classroom. This led to a lack of trust that student behavior would change after restorative practices were used with a student. Participant 3 stated that teachers responded to this lack of trust in stating that restorative discipline was "not harsh enough." Teachers then resisted the implementation stating that they "did not feel supported by the administration." Teachers were concerned that through restorative discipline their "voice would not be heard."

One unexpected voice of resistance that occurred during the implementation phase was the resistance from parents. Participant 3 stated that parents would contact the administration complaining that the punishment for their child was not enough and they wanted more discipline for what their child had done.

Participant 4. Participant 4 was a high school principal at a high school in Sonoma County. Table 13 summarizes Participant 4's responses by themes and patterns related to the two research questions.

Research Question 1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?

Participant 4 stated the reasoning behind the implementation was the suspending and expelling "too many kids." Participant 4 saw restorative practices as an "opportunity to try something new."

A team was created to help with the implementation of restorative practices. This team communicated with staff constantly regarding the implementation of restorative practices. Participant 4 stated a new restorative discipline process was created, and this team assisted in communicating the process with staff. The purpose of this constant communication was to promote opportunities for building community in classrooms.

Participant 4 made sure that the focus was on "expectations" not "consequences" during all restorative practices trainings. Trainings included opportunities for staff to sit in restorative circles and participate as a form of coaching the process. During these restorative circles, staff were taught the change in language from "conflict resolution" to

Table 13

Participant 4: Themes in Response to Research Questions

Research question	Theme identified
1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?	• Implementation based on suspending and expelling too many kids • Opportunity to try something new • Suspending kids didn't feel good • Restorative circles were being conducted • Training occurred • Team was created to help with implementation • Team communicated with staff constantly regarding the implementation of restorative practices • New restorative discipline process created • Building community with staff and in classrooms • Expectations versus consequences • Restorative practices is an expectation on this site • Coaching staff • Restorative feels more complete • Changing language from "conflict resolution" to "circle" • Communicating that restorative practices does not mean no consequences • Holding teachers accountable for the efforts they are making in the classroom and building community • Consistent messages to students regarding expectations in common areas on campus • Inform staff with the status of restorative practices through data • Celebrate staff through recognition • Practice restorative practices with the staff during staff meetings • Teachers sharing restorative practices success stories with other teachers • Suspensions are still occurring just less often • Communicating with parents that we are "not giving up" on their child

Table 13 (*continued*)

Research question	Theme identified
2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?	• Teachers felt that nothing was being done • "Well that kid got in trouble and nothing happened. Just a conference and a circle." • Not enough communication from administration to teachers on the restorative process with students • Refusal to do restorative circles in their classrooms

"circle." Participant 4 communicated that teachers were held accountable for the use of restorative practices in their classrooms, as it was an expectation on campus.

During staff meetings, data were presented to the staff regarding the status of restorative practices. Participant 4 stated that this was an opportunity to share that suspensions were still occurring, just less often since the implementation of restorative practices. Also during staff meetings, teachers shared their success stories as an opportunity to celebrate the progress being made with restorative practices.

Participant 4 took the implementation phase as an opportunity to communicate to parents that they were "not going to give up" on their child. The also expressed the thought that implementing restorative practices was an opportunity to "try something different" in regard to student discipline.

Research Question 2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?

Participant 4 stated that initial resistance came from teachers feeling like nothing was "being done" to students who they were sending out of class. Teachers would

comment to Participant 4 that a kid "got in trouble and nothing happened. Just a conference and a circle." Participant 4 stated that teachers felt there was not enough communication from administration to teachers regarding the restorative process that occurred with students.

Participant 4 also noticed resistance within the classroom. Teachers would refuse to conduct community-building circles within the classroom.

Participant 5. Participant 5 was a high school principal at a high school in Kern County. Table 14 summarizes Participant 5's responses by themes and patterns related to the two research questions.

Research Question 1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?

Participant 5 stated the determining factors of urgency for this implementation was the LCAP funding that the school district received and the disproportionate rate of suspensions and expulsion of African American males in the district. Another reason for the implementation, according to Participant 5, was the need of reducing out-of-class time for students with classroom discipline issues.

Participant 5 created a team of 10 people consisting of administrators, teachers, and classified personnel who had "clout" on campus with both students and staff. Participant 5 believed it was important to create a team that would have strong buy-in with the staff. This same team created a vision that would embody the change initiative focusing on "respect, integrity, goals, heart, and tradition."

Table 14

Participant 5: Themes in Response to Research Questions

Research question	Theme identified
1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?	• LCAP funding provided the opportunity for implementation • Disproportionality of suspensions of minority students, specifically African American males • Team of 10 people created to help support implementation including administrators, teachers, and classified staff • Chose members who had "clout" on campus with staff and students • Important to create a team that have strong buy-in • Vision statement created: Respect, integrity, goals, heart, tradition • Vision statement was given an acronym to help support implementation • Need to reduce out of class time of students • Celebrated the staff during the implementation phase with community building activities • Class lessons once a week for 15 minutes supported the implementation • Framework is in place • Build equity • Look at the root causes behind student behaviors • Hire the right teachers • Culture change is occurring • Movement towards looking at the reasons behind student behavior • Seeing more students want to get involved in school • Additional staff hired to support implementation
2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?	• Teachers felt this was another pendulum swing in the educational process • The change initiative was moving too quickly without enough information • High staff turnover during the implementation phase

Implementation was supported in the classroom through weekly "class lessons" that supported restorative practices. These provided opportunities for equity across all the student body. Through these "class lessons," Participant 6 saw an increase in the desire of students wanting to become more involved in school.

Additional staff was needed to support the change initiative during the implementation phase. Participant 5 was able to hire support staff as well as supportive teachers to help with the implementation. Participant 5 perceived this additional staff allowed for the team, especially during implementation, to look into the "root causes" behind student behavior as well as shift to looking at the "reasons" behind the behavior.

Research Question 2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?

Participant 5 perceived that teachers saw the change initiative as another "pendulum swing" in the educational process. Participant 5 stated that teachers would have conversations surrounding the pace of the initiative, believing it was moving too quickly without enough information. Participant 5 perceived that this resistance all stemmed from the high staff turnover that occurred during the implementation phase.

Participant 6. Participant 6 was a high school principal at a high school in Kern County. Table 15 summarizes Participant 6's responses by themes and patterns related to the two research questions.

Research Question 1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?

Table 15

Participant 6: Themes in Response to Research Questions

Research question	Theme identified
1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?	• Looking for ways to increase positive student behaviors • LCAP funding • Creating and building relationships • Defining, teaching, and acknowledging expectations • Team selected supported by the assistant principal to support the work • Gain staff feedback via surveys • Discuss classroom expectations • Switched lunch schedule to increase relationship building amongst students • Community-building activities at lunch to support change initiative • Trust established with students when teacher used these practices • More parent contact occurring • Use data to look at the shifts in discipline and attendance rates • Increase in social-emotional learning • Interventions were used with ninth graders to implement restorative practices • Developed common language • Importance of getting the teacher and student together to acknowledge each other and restore the relationship
2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?	• Refusal to teach classroom lessons associated with the change initiative • Teachers believing they already have strong relationships with their students so they don't need to participate in these practices • Overwhelmed by the demands of their curriculum maps • Teachers believe establishing rules is more important than building relationships • Students tell the administration when their teachers don't conduct the classroom lesson • The belief that students are allowed to do whatever they want without a consequence

Participant 6 perceived the implementation of restorative practices came as an initiative through LCAP funding. The school district was previously looking for ways to increase positive student behavior and create and build relationships. Participant 6 saw the implementation as a way to "define, teach, and acknowledge expectations."

Participant 6 selected a team to support the assistant principal during the implementation phase as well as help to create a common language that supported the change initiative. This began with conducting a staff survey to gain staff feedback for baseline data prior to implementation of restorative practices. From this staff survey, Participant 6 perceived a need to change the lunch schedule, which was originally split between grade levels, in order to support implementation and relationship building. This allowed for community building activities that support this change initiative to occur at lunch with the entire school community.

Participant 6 continued to discuss classroom expectations that align with restorative practices in order to establish trust between students and teachers. This led for more opportunities to incorporate social-emotional learning into the classroom.

Participant 6 perceived the most important component of this change initiative was to get the teacher and student together to acknowledge each other and restore the broken relationship. Participant 6 felt it was also important to collect data to look at the shifts in discipline and attendance rates.

Research Question 2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?

Resistance came in the form of the refusal to teach classroom lessons associated with the change initiative. Participant 6 reported that students would complain about not receiving the same information as their peers because their teacher did not want to teach the classroom lesson. Participant 6 stated that teachers believed they already had strong relationships with their students so they did not need to participate in these practices. Participant 6 also saw resistance from teachers who valued teaching rules over the importance of building relationships that Participant 6 stressed during implementation.

Participant 6 perceived resistance from teachers who appeared overwhelmed by the demands of their curriculum mapping. Teachers also spoke to Participant 6 about resisting part of the process because they believed the student was allowed to do whatever they wanted without any consequence.

Participant 7. Participant 7 was a high school principal at a high school in Kern County. Table 16 summarizes Participant 7's responses by themes and patterns related to the two research questions.

Research Question 1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?

Participant 7 stressed the urgency of implementation due to the district being under scrutiny for perceptions around the disproportionality of suspension rates. This led Participant 7 to look at restorative practices through the lens of "what is good for school culture." Participant 7 decided to create a core team of people to help with the implementation. This core team created a vision that supported the mission of the change

Table 16

Participant 7: Themes in Response to Research Questions

Research question	Theme identified
1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?	• Urgency around the need to reduce suspension rates and perceptions of disproportionality • District was under scrutiny for perceptions of disproportionality • Doing what is good for school culture • Created a core team of people to help with implementation • Created a vision to support the mission of the change initiative • Need to revisit values • Communicate the vision through video news production once a week • Creation of student leadership team to support the change initiative through student voice • Celebrate staff via e-mail and at meetings during implementation • A lot of professional development during implementation year • District level professional development to reinforce restorative practices occurring on the sites • Need to add additional staff to support implementation • Daily collaboration and communication amongst administrative team regarding progress of the change initiative • It's embedded in the culture • "If I left tomorrow, my team could continue the work" • Relationship with team is positive and progressive • Staff buy-in and a positive staff culture helps with implementation
2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?	• Resistance was subversive • 3 or 4 teachers believed "Yeah, yeah, this is one more thing" • Believe that this too shall pass • Teacher openly challenged me during a staff meeting regarding the change initiative • Teachers saying they don't think they should have to be the parent

initiative. This team also communicated to Participant 7 the need to revisit the school values as well.

Communication of the vision for the change initiative was communicated weekly in the classrooms via a video news production. This led to the creation of a student leadership team who also supported the vision during implementation through student voice.

A great deal of professional development was provided during the first year of implementation at the site as well as at the district level. Participant 7 stated that the district continued to use professional development as a way to reinforce restorative practices occurring at the sites. In order to keep momentum going, Participant 7 would frequently celebrate staff via e-mail and during staff meetings.

A need to hire additional staff to support implementation became apparent to Participant 7. With the backing of the district office, Participant 7 was able to hire additional staff to support the fidelity of the implementation.

Daily collaboration and communication regarding the progress of the change initiative amongst the administrative team was important to Participant 7. Participant 7 said the relationship with the team leading this initiative was both "positive and progressive." This led to what Participant 7 called the "embedding of change into the culture of the team." Participant 7 was confident in the team, stating, "If I left tomorrow, my team could continue this work." Participant 7 stated that having staff "buy-in" and a positive "staff culture" helped with the implementation of restorative practices.

Research Question 2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?

According to Participant 7, resistance was subversive and limited to only three to four individuals. These individuals would communicate that the change initiative was just "one more thing." That staff believed this "too shall pass." Participant 7 recalled a staff member openly challenging them during a staff meeting, stating that they "don't think they should have to be a parent" to students because they felt that is what restorative practices would ask them to become.

Participant 8. Participant 8 was a high school principal at a high school in Kern County. Table 17 summarizes Participant 8's responses by themes and patterns related to the two research questions.

Research Question 1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?

According to Participant 8, the urgency to implement restorative practices came from the disproportionate suspension and expulsion rates in students of color and gender. This urgency led to the focus to get suspension and expulsion rates down. Participant 8 said the mindset that impacted these high suspension and expulsion rates were the staff morale and a "no-nonsense" approach to discipline. Participant 8 stated that the main focus of implementing this change initiative was to change the culture of the campus.

Participant 8 created two teams to support the implementation of restorative practices: one specifically to work on the vision and one to work on staff morale. The

Table 17

Participant 8: Themes in Response to Research Questions

Research question	Theme identified
1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?	• Urgency stemmed from the disproportionate suspension and expulsion rates for students of color and gender • Urgency to get our suspension and expulsion rates down • At the school the culture was to take a "no-nonsense" approach to discipline • Implementation was surrounded around changing the culture of the campus • Created a vision statement • Created classroom lessons to support the vision during implementation • Go the "speed of the need" • Two teams created to support the implementation • Teachers still need classroom management training • Needed to spend time building staff morale and staff relationships • Looking at survey data from student survey • Look at data constantly • Acknowledge staff through written communication • Communicating the vision in meetings with parents
2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?	• There was griping and complaining • This system is not going to work • Getting a single unified message communicated from all staff • Staff wanting to implement restorative practices outside of the vison of the school • Refusal to attend trainings • Hesitancy to participate • Inconsistent training amongst staff (e.g., some receiving more than others)

vision team created a vision statement for the change initiative and also created classroom lessons to teach students the vision during implementation. Participant 8 stated that this led to the realization that teachers needed to be supported with classroom management strategies during implementation. Due to this, the administrative team agreed to go into those struggling classrooms and model teach the class lesson. This also encouraged Participant 8 to increase the amount of time the "staff morale team spent building staff relationships and morale."

Data were a driving factor during implementation. Participant 8 reported that a student survey was administered during the implementation phase and the data were reviewed and discussed to look at the needs. Looking at data constantly was important to Participant 8 during implementation. The results of the survey and other data points were communicated to the staff. Participant 8 looked for opportunities to celebrate and acknowledge staff through written notes and a wall of recognition.

Research Question 2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?

According to Participant 8, resistance came in the form of "griping and complaining." Teachers would voice their resistance to Participant 8 as "this system is not going to work." Other points of resistance came from staff not wanting to attend trainings of restorative practices. In contrast, some teachers complained that they were not receiving the same amount of training that other teachers were. Communicating a unified vision and message was also a point of resistance that Participant 8 witnessed.

This led to teachers implementing their own version of restorative practices that was different than the implementation vision of the school.

Participant 9. Participant 9 was a high school principal at a high school in Fresno County. Table 18 summarizes Participant 9's responses by themes and patterns related to the two research questions.

Research Question 1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?

Participant 9 stressed the importance of implementing restorative practices was in direct correlation to impacting the climate and culture of the campus through social-emotional learning. Participant 9 believed that restorative practices teaches the social-emotional learning that some students "don't get at home." Another reason for implementation was the CORE (California Office to Reform Education) waiver accountability measures for social-emotional learning the school district had become a part of. Restorative practices had been discussed at the state and assembly level previously, and the district decided to implement this process as the social-emotional accountability measure.

Participant 9 originally had two separate teams working towards improving school climate. Once the implementation of restorative practices began, Participant 9 fell it was necessary to blend the two teams together. This team was responsible for implementing the restorative practices approach across campus. This team included additional staff members whose sole focus was restorative practices. These new staff members attended leadership meetings with the administration weekly to update them on

Table 18

Participant 9: Themes in Response to Research Questions

Research question	Themes identified
1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?	• Importance of the climate and culture of the campus having everything to do with learning and social-emotional learning • Restorative practices teaches the social-emotional learning that some of our students don't get at home • Restorative practices had been bubbling at the state and assembly level for a long time • The CORE waiver included accountability measures for social-emotional learning • Vision was for 100% of all students graduate on time and be A-G ready • The vision has everything to do with learning restorative practices and to improve the climate and culture on campus and in the classroom • This learning was needed to reach that goal • Originally two teams were created however they have now evolved into one • This team makes sure the restorative practices approach is implemented across campus • Vice principals are invested in implementing across campus as well • As a staff, we are in constant learning mode • Building relational capacity • Systems put in place that work best for us and based upon the needs of the kids • Restorative practices are the learning rod that bridge relationships between teachers and students • Read *Mindset* by Carol Dweck as a staff • This new approach was a relief to our suspensions • We celebrated small wins through the individual kid stories and adult stories of restorative practices approach being used

Table 18 (*continued*)

Research question	Theme identified
	• Include restorative practices staff into leadership meetings to discuss implementation • Can't reach our vision if kids aren't in school • Seeing relationships repaired • Important for me to model the practices • Everything in leadership is about modeling • Modeled restorative circles with vice principal team • Important for me to continue to repeat the message of the vision • Learning happens when the relationship is positive and the kid stays in school • Focus making and repairing strong relationships • Trust the process and allow restorative practices to grow • Confident that it will sustain
2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?	• Folks couldn't figure out what we were doing • Where does restorative practices fit into our discipline plan? • Restorative practices was associated solely with discipline • Staff verbalizing "We already knew that. Come on, we've always been heavy in relationships." • Changing mindset from "It's just a district program" to "we can get better at this." • People believing it's another program instead of an approach

the implementation. This new team created a vision that had everything to do with improving the climate and culture on campus and in the classroom. Part of this vision was for 100% of all students to graduate on time, A-G ready. Participant 9 stated, "We can't meet this vision if kids aren't in school." This continued what Participant 9 called

the "primary purpose" of implementation, which was to make positive relationships with kids so they will want to stay in school.

Another portion of this vision was to build relational capacity through seeing relationships repaired. Participant 9 described the implementation of restorative practices as the "learning rod that bridge relationships between teachers and students." This led to the focus on making and repairing strong relationships. Restorative practices allowed for the team to celebrate with staff individual stories of repaired relationships with teachers and students.

Participant 9 felt it was of utmost importance to model restorative practices as often as possible. This modeling also occurred when vice principals would sit in "restorative circles" with the lead of the restorative team. Participant 9 believed that everything in leadership is about modeling. Participant 9 felt that modeling would help others "trust the process" which would help restorative practices grow and sustain.

Research Question 2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?

Resistance to restorative practices implementation came in the form of confusion. Staff stated to Participant 9 that they could not "figure out what we are doing." Staff also questioned Participant 9 asking where restorative practices "fits into the discipline plan." This led to further confusion as teachers would associate restorative practices solely with discipline.

Participant 9 said staff members would make comments such as "we already knew that. Come on, we've always been heavy in relationships." Even though the staff

did a site wide book study of *Mindset* by Carol Dweck (2006), staff continued to deal with a fixed mindset of believing this was just a district program and not a program "we can get better at." In the same tone, teachers saw restorative practices as another program instead of an approach.

Participant 10. Participant 10 was a high school principal at a high school in Fresno County. Table 19 summarizes Participant 10's responses by themes and patterns related to the two research questions.

Research Question 1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?

Participant 10 described the need to implement restorative practices as a response to common use of punitive discipline measures that did not provide healing or repair of relationships for the child or the adult. This was also a response to the huge number of students being sent out of class and who were losing instructional minutes. This led to the realization that current practices were "no way to bring about change in behavior."

Participant 10 described the need to create a team of the "right people" to lead the implementation. They used data to guide implementation. This led to the immediate recognition that additional staff members needed to be hired to support implementation. Because restorative practices is "life-changing work," it was important to Participant 10 that these additional staff members be on the campus 5 days a week, as currently they were on campus 3 days a week. Participant 10 stated that this additional staff is the "most powerful piece" of restorative practices implementation.

Table 19

Participant 10: Themes in Response to Research Questions

Research question	Theme identified
1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?	• Punitive response to discipline • No way to heal the child, adult, or repair relationships • No way to bring about change in behavior • Huge numbers of students being referred out of the classroom, losing valuable instructional time • Most important piece of restorative practices is the intervention • Team of the "right people" leading the work • Use data as our guide to implementation • Restorative practices is "life-changing" work • Addition of new staff to support the implementation • Important for additional staff to be present on campus 5 days a week for implementation • Important to promote and support restorative practices often • Didn't realize its value until I was embedded in it • Important to reach out to families • Students taking ownership for their behavior • Saying thank you as often as possible during implementation to staff • Know that implementation is occurring when areas on campus aren't "tension-filled" spaces • You can feel walking on a campus if there is tension or peace. Restorative practices brings peace. • Additional staff hired to support implementation are the "most powerful pieces" of restorative practices implementation. • Restorative practices in schools is necessary to "heal our city."

Table 19 (*continued*)

Research question	Theme identified
2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?	• Mindset was a continuation of consequence not a growth mindset • Staff was told what to do instead of being included in the collaborative process • Challenging belief systems • This is just a "touchy feely" program • There is no consequence to a restorative practice • Administration not willing to look at current practice and see where they are ineffective • Too many steps in the computer to log the restorative practice • Afraid it will increase their work load • Training occurred at a difficult time in the school year • Administrators who still want to be the "hammer" • Vision was communicated poorly from the district level to the site.

The responsibility of promoting and supporting restorative practices was important to Participant 10. Participant 10 admitted to not realizing the value of restorative practices until becoming embedded in it during implementation. Participant 10 could remember the moment they felt restorative practices was working because areas on campus were no longer "tension-filled" spaces. It was important to say thank you as often as possible to staff during the implementation of restorative practices for this shift. Even now, Participant 10 stated, "You can feel walking on a campus if there is tension or peace. Restorative practices brings peace." Participant 10 stated with passion that "restorative practices is necessary to heal our city."

Research Question 2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?

Resistance in the form of staff mindset focusing on a continuation of consequences versus a growth mindset was what Participant 10 recalled noticing first. Staff felt told what to do instead of being included in the collaborative process. This was a challenge to staff belief systems and an overall belief that restorative practices was "touchy feely."

Other logistical concerns came in the form of resistance, such as administration not willing to look at current practice and see where they were ineffective. Also, the number of steps it took to log a restorative practice in the computer was a resistance factor. Another resistance concern from administrators was the assumed increased work load restorative practices would require of them.

Staff members also felt the vision was poorly communicated from the district level to the site. All site staff received training of restorative practices at a difficult time in the year, which led to further resistance. Staff and administrators were concerned that Restorative practices meant no consequences, and they still wanted the "hammer."

Data Analysis by Common Themes in Research Questions

In the following section, participant data are analyzed and presented according to the two research questions. The researcher analyzed all 10 participants' responses to determine common themes for Research Questions 1 and 2. It was determined that there were eight common themes across all participants for Research Question 1 and four for Research Question 2.

Research Question 1. Research Question 1 asked, "How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?" All 10 participants' responses were analyzed to look for common themes. Table 20 displays the common themes to answer Research Question 1, the perception high school principals had towards the implementation of restorative practices.

Table 20

Research Question 1: Common Themes in all Participant Responses

Research question	Theme	Number of respondents	Frequency of responses
1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?	1. Create a team to support implementation	10	44
	2. Visible changes in school culture	10	39
	3. Creation of a vision to direct implementation	10	33
	4. Important to celebrate staff success during implementation	9	42
	5. Increase communication to staff	9	31
	6. Additional trainings needed to support restorative practices	9	23
	7. Reason for implementation: Reduce suspension and expulsion disproportionality rate amongst students	8	33
	8. Building relationships	7	46

Common Theme 1: Create a team to support implementation. Every participant unanimously stressed the importance of building a team to support the implementation of restorative practices. This team not only helped lead the implementation but also helped the principal gain buy-in from other staff members. One participant stated, "You have to make sure you have the right people that are leading the work; as that team goes so your school goes."

Common Theme 2: Visible changes in school culture. Unanimously, 100% of all participants saw visible changes to their school culture during implementation. One participant stated, "You can come into a place that is peace and calm and they don't feel threatened, nor do they feel judged." Another participant described it as follows: "I think it's definitely the way to handle having your campus feel safe and respectful. I mean, at the end of the day, it just sounds like good practices and what's good for students and what's good for school culture."

Common Theme 3: Creation of a vision to direct implementation. All participants, 100%, stated the importance of creating a vision that would direct implementation of restorative practices. Communicating this vision was important to promoting the need and purpose of restorative practices. One participant detailed the importance of the vision: "I think the vision became really one of community relationships, and understanding." Another participant stated, "I think our team does a great job of keeping the messaging alive."

Common Theme 4: Important to celebrate staff successes. A majority, 90%, of all participants wanted their staff to feel appreciated and celebrate small wins with them during implementation. One participant's example was the following: "I don't let it go

by without saying thank you because if you don't acknowledge those who are doing the heavy sledding and the hard work they're going to think they're taken for granted, which that is not at all the outlook that I have." Another participant stated celebrating staff as, "We're going to keep moving forward and as often as I can, I'll say it, I'll e-mail it, we'll talk about it and congratulate people and pat them on the back for doing good work."

Common Theme 5: Increase communication to staff. The data concluded that 90% of all participants discussed the importance of increasing communication to staff regarding the status of implementation. One participant spoke of the need: "I have to constantly put out there how this benefits us. It just keeps them feeling hopeful, involved; and it keeps that message buzzing."

Common Theme 6: Additional trainings needed to support implementation. The data concluded that 90% of all participants believed specific trainings supporting the specifics of restorative practices was vital to implementation. One participant described this training: "We had week-long training of what restorative practices mean, so that way the staff, classified and certificated administrative have the opportunities to understand what this means from A to Z, and what it is not." Another participant stated, "The district did provide all staff training, I think 3 times last year, which gave an overview of disciplinary models as well as kind of the intent and the why of restorative practices and the impact it can have on students."

Common Theme 7: Reason for implementation was to reduce suspension and expulsion rates of students. The data concluded that 80% of participants perceived the reason for implementation in their district and specific school site was in direct correlation to data surrounding the disproportionality of suspension and expulsion rates

amongst students. One participant confidently confirmed this perception during the interview by stating, "I think we knew that we were suspending and expelling too many kids, and it was pretty disproportionate. We needed to look for alternative ways to handle student discipline."

Common Theme 8: Building relationships. The data concluded that 70% of all participants perceived building relationships became a crucial component during implementation. One participant noted, "The school established a clear communication about the importance of relationships. We were real intentional about how we marketed being a restorative practices school and how it wasn't intended to replace the systems we had in place but to enhance our relationships."

Research Question 2. Research Question 2 asked, "What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?" All 10 participants' responses were analyzed to look for common themes. Table 21 displays the common themes to answer Research Question 2, the perceived resistance high school principals met during the implementation of restorative practices.

Common Theme 1: Lack of consequences. The data concluded that 60% of all participants resisted implementation due to the perception that restorative practice meant no consequences for student discipline. An example of this resistance, "This is touchy feely. There's no consequence to a restorative practice." Another participant stated, "Teachers felt like nothing was being done; that would be their response: 'Well, the kid got in trouble and nothing happened.'"

Common Theme 2: Refusal to participate in restorative processes. A total of 50% of all participants stated refusal to participate in restorative processes, such as class meetings and circles, during implementation was a resistance met. Once participant stated, "You meet with your restorative practice team members individually or even collectively and they tell you that teachers refuse to do a restorative circle." Another participant stated they noticed staff members stating, "We have too much curriculum to get through; I'm not teaching those lessons."

Table 21

Research Question 2: Common Themes in all Participant Responses

Research question	Theme	Number of respondents	Frequency of responses
2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?	1. Lack of consequences	6	12
	2. Refusal to participate in restorative processes	5	10
	3. Lack of communication and confusion of expectations	6	10
	4. Just another program; it won't last	5	6

Common Theme 3: Lack of communication and confusion of expectations. A total of 60% of all participants stated resistance came through the messaging of restorative practices at the school site. One participant stated, "The question was asked: what does it truly mean to be restorative in terms of we practice what we preach?" Other participants felt resistance in the belief there was a "lack of a clear vision of the

expectations for implementation." Teachers asked, "What are the expectations of restorative practices in the classroom?" Other participants believed this resistance came from the "gap in the way information was being heard and received by all staff."

Common Theme 4: Just another program, it won't last. A total of 50% of all participants met resistance with staff believing restorative practices was just another program that would not last. One participant stated, "There are teachers who feel like this is yet another pendulum swing of the educational process." Another participant stated resistance was "getting past our staff thinking we've already done this before."

Summary

In this chapter, the results of participant responses to open-ended, semistructured interview questions in a case study with 10 participants were presented. The two research questions were designed to obtain the perception of high school principals in the implementation of restorative practices and to capture any perceived resistance to change that may have occurred during implementation.

A total of 10 high school principals were interviewed from school districts in Central and Northern California. The majority of the 10 participants were interviewed in person, while the others were interviewed via telephone. All 10 participants were audio recorded using an application on an iPad to increase transcription accuracy.

After analysis, participants cited eight major themes impacted the implementation phase of restorative practices. First, participants believed that building relationships was key to implementation. Second, participants stated the creation of a team to support implementation was critical. Third, participants stated it was important to celebrate staff success during implementation. Fourth, participants noticed a visible change in school

culture. Fifth, participants felt it was important to create a vision to direct implementation. Sixth, participants felt the reason implementation of restorative practices was occurring was to reduce the suspension and expulsion disproportionality rate amongst students. Seventh, participants noticed the importance of increased communication to staff during implementation. Finally, participants felt it was important to provide additional trainings that supported restorative practices during implementation.

In regard to the resistance met during implementation of restorative practices, participants cited four major themes. First, participants identified that teachers resisted restorative processes due to their perception of a lack of consequences for discipline issues. Second, participants noted that resistance came in the refusal of staff to participate in restorative processes. Third, a lack of communication and confusion of expectations by participants led to resistance from staff. Finally, participants noted that staff members resisted implementation, as they felt it was just another program that would not last.

CHAPTER V: SUMMARY, CONCLUSIONS, IMPLICATIONS, AND RECOMMENDATIONS

A summary of findings is presented in this final chapter. This chapter begins with a restating of the purpose, research questions, methodology, and population and sample. This chapter details the findings and conclusions discovered based on the research questions. This chapter also includes the implications for actions as well as the researcher's recommendations for further research. This chapter closes with personal reflections and comments from the researcher.

Summary of the Study

Purpose Statement

The purpose of this qualitative case study was to explore and describe the perceptions of high school principals in three Central and Northern California school districts on the implementation of restorative practices and resistance to change through the theoretical lens of Kotter's eight-stage change model.

Research Questions

The following research questions address high school principals' perception of the implementation of restorative practices as well as any resistance met during implementation.

1. How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?

2. What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?

Methodology

The interviews entailed 12 main questions developed using Kotter's eight-stage change model as the theoretical framework with additional probing questions if needed during each interview. Interviews were recorded using an application on an iPad to ensure the quality of the recording. Interviews were immediately sent using the same application from the iPad for professional transcription. The transcriptions of the interviews were reviewed by the transcriber, researcher, and participants to ensure accurate responses were captured. Interviews were then uploaded to NVivo coding software used for qualitative research data analysis. Each interview transcription was coded individually to draw out themes and patterns. To ensure interrater reliability, the coding of the same interview transcripts was given to a doctor of education for analysis in order to increase accuracy. The researcher and doctor of education compared results and agreed that the percentage of accuracy was high and interrater reliability was met.

Population and Sample

Participants for this research were high school principals currently employed in Fresno, Kern, or Sonoma Counties as the sample frame. Criteria for the participants included currently being a high school principal located on the school site. These participants met the criterion of having a student population of 1,600 to 3,000 students. The final criterion was that the high school was in the implementation phase or had implemented restorative practices. The researcher chose to include at least two to four

high school principals from each of the three counties of interest, Fresno, Kern, and Sonoma. The sample size for this case study consisted of a total of 10 participants. This group of high school principals met the criteria and characteristics needed to participate in this study.

Major Findings

In Chapter I and throughout the study, two research questions analyzed the perceptions high school principals had regarding the implementation of restorative practices as well as any resistance met during implementation. The research questions and data collected from 10 interviews show the perceived benefits and resistance of restorative practices. The high school principals' perceptions and major findings are discussed by research question.

Research Question 1

Research Question 1 stated, "How do high school principals in three Central and Northern California school districts perceive the implementation of restorative practices in regard to Kotter's eight-stage change model?"

Major Finding 1. The first key finding that 100% participants stated was the importance of creating a team to support implementation. One principal suggested this team consist of classified staff, teachers, and administrators in order to capture a collective voice of the school community. This led to 100% of high school principals stating the importance of this team creating and communicating a vision to direct implementation. High school principals discussed the importance of creating a team with staff members who have "buy-in" or "clout" with the staff. High school principals believed that this would lead to a smooth implementation built on trusting relationships.

Major Finding 2. Another key finding that 100% of all participants stated was the visible changes to their school culture they saw as a result of the implementation of restorative practices. Restorative practices' focus on relationships is a way to look at all aspects of the school culture by developing relational practices (Blood & Thorsborne, 2005). These high school principals wanted their campus to feel safe to all key stakeholders as well as be a place where relationship building is a key focus. These high school principals saw a shift in both staff-to-staff relationships, staff-to-student relationships, and student-to-student relationships during implementation.

Major Finding 3. The third major finding suggested that 90% of participants felt it was important to celebrate staff successes during implementation. Several high school principals suggested that publicly communicating success stories, such as a restorative circle or successful class meeting, became increasingly important during implementation. This public recognition of staff helps "build necessary momentum" as well as provides "needed reinforcement" (Kotter, 2012, p. 126). Kotter (2012) stated it is important to celebrate short-term wins in hopes of silencing resisters (p. 127).

Major Finding 4. According to 90% of participants, it is important to increase communication with staff during implementation. This same 90% of high school principals suggested that increased communication needed to come in the form of additional trainings that support restorative practices. These trainings needed to focus on the specific practices and processes staff would be participating in during implementation. A few high school principals stated it was important for staff to "sit in circle" in order to understand how this restorative process worked. Another high school

principal used role play to demonstrate to staff how to use the five restorative questions during a restorative chat.

Major Finding 5. According to 80% of participants, the reasoning behind the implementation of restorative practices at their respected school site was to reduce suspension and expulsion disproportionality rates amongst students of color. High school principals stated this reduction in suspension and expulsion rates would hopefully impact the way relationships occurred on their respective campuses. This led to the belief that restorative practices would help reduce these numbers by offering alternative ways to resolve and repair relationships.

Research Question 2

Research Question 2 stated, "What resisters to change did high school principals perceive impacted the transformational change during the implementation phase of restorative practices in three Central and Northern California school districts?"

Major Finding 1. The first key finding of resistance was that 60% of participants perceived resistance came from the belief that restorative practices meant a lack of consequences for student behavior. High school principals reported that staff spoke verbally and nonverbally against restorative practices as a way for students to "get away with bad behavior." High school principals also stated that staff resisted due to wanting to maintain a "punitive" discipline policy and not a "restorative" discipline policy.

Major Finding 2. The second key finding of resistance came from 60% of participants noticing a confusion of expectations from staff as a result of a lack of clear communication. Additionally, 50% of high school principals reporting the refusal from staff to participate in restorative processes was another resister met. One high school

principal felt this may have stemmed from staff not attending all trainings where restorative practices were demonstrated and defined. Another high school principal believed this stemmed from the belief that restorative practices did not include "punitive" consequences, and therefore staff refused to participate.

Major Finding 3. The final key finding in this research question was that 50% of participants believed that staff perceived restorative practices as just "another program that won't last." Resistance came in the lack of sustainability of restorative practices as a long-term change initiative. High school principals stated that resisters felt this was just another program to reduce suspension and expulsion rates that would not last. Another high school principal stated staff resisted due to the belief that restorative practices would "take away their power."

Unexpected Findings

Data were collected, transcribed, and coded to discover the perceptions high school principals had during the implementation of restorative practices as well as any perceived resistance met. The findings suggest that high school principals perceived as important the creation of a team to help implement restorative practices. This team would ultimately help the high school principal create a vision that would direct the implementation process. High school principals also perceived the importance to increase communication during this implementation. This increased communication was important as well as the need to celebrate staff successes during implementation. Though these findings were not surprising to the researcher, a few unexpected findings did occur during the initial data collection.

Unexpected Finding 1

During recruitment of districts that met the criteria for this study, it was unexpected to find that the two school districts leading the work of restorative practices in the state declined participation in this study. This left a void in hearing from the critical constituents of those that have led this work in the state.

Unexpected Finding 2

When looking at the data collected, a direct conflict occurred in the area of communication between the research question data. Findings from Research Question 1 state that high school principals perceived the importance of increased communication to staff during implementation. On the contrary, findings from research Question 2 suggest that part of the resistance to the implementation of restorative practices was the lack of clear communication and confusion of expectations.

Unexpected Finding 3

When coding the data, a theme emerged that was not strong enough to be a main theme; however, it intrigued the researcher enough to mention it. Four participants mentioned the importance of hiring additional staff to support the implementation of restorative practices. Participant 5 stated the addition of a half-time social worker and half-time intervention specialist was "really instrumental in this work and having some extra help with the interventions that we need to put in place." Kotter (2012) mentioned in the seventh stage of his change process the importance of "hiring, promoting, and developing people who can implement the change vision" (p. 23).

Conclusions

Conclusion 1

High school principals perceive a critical component to drive successful implementation of restorative practices was the creation of a team. Kotter (2012) discussed the importance of a team or "guiding coalition" as a "powerful force required to sustain the process" of leading change (p. 53). As indicated by Participant 10, "As that team goes so your school goes. As that team goes so does your discipline, or lack thereof, so does your restoration, so does the intervention support." Kotter (2012) stated the importance of building a strong team with the "right composition, level of trust, and shared objective" (p. 54). High school principals believed that the "right composition" would include a diverse group of classified, certificated, and administrative staff that have relational power on the campus.

Conclusion 2

High school principals perceived the need for additional trainings to support restorative practices during implementation. Participant 2 stated that when staff heard the words "restorative practices," they perceived it immediately in a negative way. This led to the growing need to continue offering trainings monthly in order to keep reinforcing the vision of restorative practices. Kotter (2012) mentioned in Stage 4 of his change process the importance of "using every vehicle to constantly communicate the new vision and strategies" (p. 23).

Summary

These conclusions show the importance of creating a team of people from diverse groups. Participant 1 stated the importance of developing a team of people who "could

build relational capacity with the staff through communicating the desired vision of the change." It is important for this team to communicate the vision of the change to all staff members from the initial phase of implementation and throughout the entire change process.

Implications for Action

The conclusions from this study led to some concrete implications for action for high school principals and their teams in the implementation of restorative practices. Based on the review of literature and analysis of interview data, the following actions are recommended.

Implication 1

The results of this study showed that high school principals perceive the need to create a team as an essential component to guide the implementation of restorative practices. Kotter (2012) recommended four characteristics are essential in building effective teams: position power, expertise, credibility, and leadership (p. 59). Using these four characteristics in choosing this team to guide implementation will help gain staff support and readiness for the formal role out of restorative practices. Therefore, *in order for this team to implement these practices effectively, training of these individuals needs to begin 1 year prior to the implementation year.*

Implication 2

An unexpected finding from this study was the need to hire additional staff to support implementation of restorative practices. *Assessing the need and hiring additional staff to support this change needs to occur in the year prior to implementation.* This

would allow time for the new staff hired to build necessary relationships with staff as well as receive needed trainings for implementation.

Implication 3

The results of this study show the need for additional training to support restorative practices implementation. *The guiding team needs to create a training schedule and specific curriculum they will teach on a monthly basis during the implementation year to all staff members*. This specific curriculum could include opportunities for staff to understand the purpose and outcome of implementing restorative practices, opportunities to see restorative practices modeled, learning surrounding emotional intelligence, and trauma-sensitive classroom training to name a few. This created training schedule and specific curriculum needs to be added to the site calendar each month during the year of implementation. Trainings need to be provided during a time when the majority of staff would be present.

Implication 4

It takes time to successfully plan for implementation of a change initiative. During implementation, it is critical to schedule planning time that would allow the team to meet on a regular basis. It is important for the team to discuss and plan for the needs of the change initiative. *In order for this to occur, meeting times and dates need to be shared with the team and scheduled throughout the entire year to allow planning time for the team.*

Implication 5

In order to gain buy-in from staff, especially teachers, a restorative practices classroom curriculum map needs to be created for teachers to follow throughout the

implementation. Results from this study show a lack of clear communication and confusion of expectations from staff. Poor planning and a lack of structure lead to this confusion. In order to reduce confusion, this classroom curriculum map would guide teachers in the classroom expectations of restorative practices, such as restorative circles or class meetings, and how to align these practices with their curriculum.

Implication 6

The results of this research determined resistance came in the form of a "lack of consequences" or "a program that won't last." *In order to embrace this resistance, it is important to develop a restorative discipline policy that addresses the issue of consequences and sustainability*. This restorative discipline policy would be developed by the guiding team and the high school principal to determine what behaviors can be handled in the classroom using restorative practices and what should be referred to the office.

Implication 7

The results of this research determined the need to address resistance while leading a change initiative. In order to understand expected resistance during a change initiative, Harvey and Broyles (2010) suggested the importance of increasing staff voice through allowing them to participate in the change. This participation, such as making critical decisions surrounding the "what" and "how" behind the change initiative (Harvey & Broyles, 2010), will lead to ownership. *Participation and ownership will assist in overcoming expected resistance during the implementation of a change.*

Implication 8

Results from this study showed the key to maintaining momentum during implementation was publicly acknowledging staff successes directly related to participation in a restorative practice. High school principals stated the importance of recognizing these staff members in multiple formats (e.g., e-mail, daily announcements, and staff meetings), which would increase the likelihood that others would participate. For this reason, *looking for opportunities to communicate publicly staff successes, which were a result of participating in a restorative practice, is essential during implementation.*

Recommendations for Further Research

The findings from this qualitative case study are the introductory structure to extend research in the area surrounding high school principals' perceptions of restorative practices implementation. Recommendations for further examination into this topic are as follows:

1. Conduct a comparative case study between high school principals and elementary school principals to discover the perception differences regarding implementation of restorative practices and any resistance met.
2. The current study included 10 high school principals in Central and Northern California. In order to deepen this study, replication of this research should be conducted in large school districts in southern California where restorative practices have been implemented.
3. This study examined districts that have chosen to implement restorative practices as a transformational change. Further research would be beneficial in looking at school

districts that decided not to implement restorative practices and what resistance factors led to that decision.

4. This study provided information regarding perceived resistance met by high school principals during implementation of restorative practices. Collecting data from students and their resistance to restorative practices was not part of this study. It is recommended to research students' perceptions of restorative practices in order to identify any resistance that would keep them from participating in the practices.
5. A replication of this study should be conducted in 5 years to determine the sustainability of restorative practices as a transformational change in these three counties. This study was conducted during a time when the state of California was looking for alternative practices to the disproportionality of suspension and expulsion rates with students of color.
6. A gap in research surrounding parents' perceptions regarding restorative practices still exists. Conducting a study researching parents' perceptions surrounding the willingness to participate as well as the willingness to allow their children to participate in restorative practices is needed for this further research.
7. This study collected data that were solely qualitative. A study collecting quantitative data via a survey or questionnaire regarding the perceptions of restorative practices implementation would be beneficial to increase the number of participants and collective voices heard.

Concluding Remarks and Reflections

The transformational change of restorative practices is fairly new in the state of California. Because of this, data are limited regarding its implementation, especially in

high schools. This study provided the opportunity for me to learn from high school principals and gain their perspectives regarding this change initiative. I believe that capturing their voices was critical to the success of this study as well as a continued reminder of the need for more research in the area of restorative practices.

The high school principals who were interviewed candidly described, from their perspective, how the implementation progressed. These same principals did not hesitate to discuss the resistance they met during the implementation. Even though restorative practices is a controversial practice that not all staff will buy into, I learned its importance in increasing staff and student voice.

Now that this study has concluded, I believe strongly in the importance of implementing programs such as restorative practices to increase opportunities that are an alternative to the punitive discipline practices which have existed in our schools for far too long. These practices allow for beautiful opportunities to build community and strengthen relationships in and out of the classroom setting.

This study also challenged me in the area of resistance. During initial data collection, a few districts declined to participate with little or no communication as to the reasons behind the denial. I struggled with this resistance, as I felt it was contradictory to the basis of restorative practices: promoting community building and support. However, this resistance led to data being captured from high school principals in three enthusiastic school districts, and I am grateful for each participant in those districts. I believe as restorative practices increases in schools, the perceived resistance will decrease.

I am eternally grateful for this study and the opportunity to add to the body of research on restorative practices. I am also grateful for the way this study has changed

who I am as a wife, parent, educator, and employee. I have learned to see resistance as a gift. This gift of resistance can reveal areas where communication is lacking and where further trainings need to occur. Resistance also gives you the gift of mindset (whether fixed or growth; Dweck, 2006) and the ability to course correct during implementation of a transformational change. For this reason, I will choose to continue learning with a "growth" mindset as a progressive and forward- thinking educator.

REFERENCES

Ackerman Anderson, L., & Anderson, D. (2010a). *The change leader's roadmap: How to navigate your organization's transformation* (2nd ed.). San Francisco, CA: Pfeiffer.

Ackerman Anderson, L., & Anderson, D. (2010b). How command and control as a change leadership style causes transformational change efforts to fail. Retrieved from http://www.beingfirst.com/resource-center/pdf/SR_HowCommandAnd Control_v3_101006.pdf

American Psychological Association Zero Tolerance Task Force. (2008). Are zero tolerance policies effective in the schools? Retrieved from http://www.apa.org /pubs/info/reports/zero-tolerance.pdf

Anderson, B. L. (1993). The stages of systemic change. Retrieved from http://www.ascd.org/publications/educational-leadership/sept93/vol51 /num01/The-Stages-of-Systemic-Change.aspx

Anderson, D. (2012). *Organization development: The process of leading organizational change* (2nd ed.). Thousand Oaks, CA: Sage.

Anderson, D., & Ackerman Anderson, L. (2010). *Beyond change management: How to achieve breakthrough results through conscious change leadership* (2nd ed.). San Francisco, CA: Pfeiffer.

Angelle, P. S., & Anfara, V. A., Jr. (2006, May). What research says: Courageous, collaborative leaders confront the challenges and complexities of school improvement. *Middle School Journal*, *37*(5), 48-54. Retrieved from http://www.jstor.org/stable/23043940

Association for Supervision and Curriculum Development. (2012). Making the case for educating the whole child. Retrieved from http://www.wholechildeducation.org /assets/content/mx-resources/WholeChild-MakingTheCase.pdf

Avolio, B. J., & Bass, B. M. (1991). *The full range of leadership development: Basic and advanced manuals*. Binghamton, NY: Bass, Avolio, & Associates.

Avolio, B. J., Bass, B. M., & Jung, D. I. (1999). Re-examining the components of transformational and transactional leadership using the multifactor leadership questionnaire. *Journal of Occupational and Organizational Psychology*, *72*, 441-462. doi:10.1348/096317999166789

Avolio, B. J., & Gardner, W. L. (2005). Authentic leadership development: Getting to the root of positive forms of leadership. *Leadership Quarterly*, *16*, 315-338.

Bartunek, J. M., & Moch, M. K. (1987). First order, second order, and third order change and organizational development interventions: A cognitive approach. Retrieved from https://www.researchgate.net/publication/275418948

Bass, B. (1985). *Leadership and performance beyond expectations*. New York, NY: Free Press.

Bass, B. M. (1990, January). From transactional to transformational leadership: Learning to share the vision. *Organizational Dynamics*, *18*, 19-31. Retrieved from http://connection.ebscohost.com/c/articles/9607211357/from-transactional-transformational-leadership-learning-share-vision

Bass, B. M. (1997, Summer). Personal selling and transactional/transformational leadership. *Journal of Personal Selling and Sales Management*, *17*(3), 19-28. Retrieved from http://www.jstor.org/stable/20832520

Bass, B. M. (1999). Two decades of research and development in transformational leadership. *European Journal of Work and Organizational Psychology*, *8*(1), 9-32.

Bass, B. M., & Avolio, B. J. (1989). Potential biases in leadership measures: How prototypes, leniency, and general satisfaction relate to ratings and rankings of transformational and transactional leadership constructs. *Educational and Psychological Measurement, 49,* 509-527.

Bass, B. M., & Avolio, B. J. (1994). *Improving organizational effectiveness through transformational leadership*. Thousand Oaks, CA: Sage.

Bass, B. M., Avolio, B. J., Jung, D. I., & Berson, Y. (2003). Predicting unit performance by assessing transformational and transactional leadership. *Journal of Applied Psychology*, *88*(2), 207-218. doi:10.1037/0021-9010.88.2.207

Berkowitz, K. (2013). Restorative practices whole school implementation guide. Retrieved from http://www.healthiersf.org/RestorativePractices/Resources/documents/SFUSD%20Whole%20School%20Implementation%20Guide%20final.pdf

Bernardo, R. (2015). 2015's states with the best and worst school systems. Retrieved from https://wallethub.com/edu/states-with-the-best-schools/5335/

Bidwell, A. (2014). The history of common core state standards. Retrieved from http://www.usnews.com/news/special-reports/articles/2014/02/27/the-history-of-common-core-state-standards

Bishop, W. H. (2013, January 16). Defining the authenticity in authentic leadership. *Journal of Values-Based Leadership*, *6*(1), 1-8. Retrieved from http://scholar.valpo.edu/jvbl/vol16/iss1/7

Blood, P., & Thorsborne, M. (2005, March 3). *The challenge of culture change: Embedding restorative practices in schools*. Paper presented at the Sixth International Conference on Conferencing, Circles, and other Restorative Practices, Sydney, Australia.

Bradberry, T., & Greaves, J. (2009). *Emotional intelligence 2.0*. San Diego, CA: TalentSmart.

Bradshaw, C., Koth, C., Bevans, K., Ialongo, N., & Leaf, P. (2008, December). The impact of school wide positive behavioral interventions and supports (PBIS) on the organizational health of elementary schools. *School Psychology Quarterly*, *23*(4), 462-473. doi:10.1037/a0012883

Bromley, D. B. (1986). *The case study method in psychology and related disciplines*. Chichester, PA: John Wiley and Sons.

Brown, B., Tucker, P., & Williams, T. L. (2012, September/October). Nine practices of second order schools. *Principal Magazine*, 32-35. Retrieved from http://www.naesp.org

Brubaker, D., & Zimmerman, R. H. (2009). *The little book of healthy organizations: Tools for understanding and transforming your organization*. Intercourse, PA: Good Books.

Burns, J. M. (1978). *Leadership*. New York, NY: Harper & Row.

CalEdFacts. (2014). Largest and smallest public school districts. Retrieved from http://www.cde.ca.gov/ds/sd/cb/ceflargesmalldist.asp

California Department of Education. (2014). Local control funding formula. Retrieved from http://www.cde.ca.gov/fg/aa/lc/

California Department of Education. (2015a). Common core state standards. Retrieved from http://www.cde.ca.gov/re/cc/

California Department of Education. (2015b). Frequently asked questions and answers regarding the local control funding formula. Retrieved from http://www.cde.ca .gov/fg/aa/lc/lcffaq.asp#FC

California Department of Education. (2015c, November 12). State schools chief Tom Torlakson reports significant drops in suspensions and expulsions for second year in a row. Retrieved from http://www.cde.ca.gov/nr/ne/yr15/yr15rel5.asp

California Department of Education. (2016a). Local control funding formula overview. Retrieved from http://www.cde.ca.gov/fg/aa/lc/lcffoverview.asp

California Department of Education. (2016b). Suspension and expulsion report for 2014-15. Retrieved from http://dq.cde.ca.gov/dataquest/SuspExp/umirsedcode.aspx ?cYear=2014-15&cType=ALL&cCDS=00000000000000&cName=Statewide &cLevel=State&cChoice=UMIRS&ReportCode=UMIRS

California Office to Reform Education. (2013). California office to reform education mission. Retrieved from http://coredistricts.org/why-is-core-needed/

Cawsey, T., & Deszca, G. (2007). *Toolkit for organizational change*. Thousand Oak, CA: Sage.

Cervone, B., & Cushman, K. (2014a). Integrating social-emotional learning into high school. Retrieved from http://www.edweek.org/ew/articles/2014/05/21/32 cervone.h33.html

Cervone, B., & Cushman, K. (2014b, February). *Learning by heart: The power of social-emotional learning in secondary schools*. Providence, RI: What Kids Can Do, Center for Youth Voice in Policy and Practice.

Claasen R., & Claasen, R. (2008). *Discipline that restores*. North Charleston, SC: Book Surge.

Cole, K. Y. (2013). *Implementing restorative practices: A case study of how one urban high school approached alternatives to punitive discipline practices* (Doctoral dissertation). Available from ProQuest Dissertations and Theses database. (UMI No. 3587926)

Collaborative for Academic, Social, and Emotional Learning. (2013). *CASEL schoolkit: A guide for implementing schoolwide academic, social, and emotional learning.* Chicago, IL: CASEL.

Collaborative for Academic, Social, and Emotional Learning (2015a). *Identifying K-12 standards for SEL in all 50 states*. Retrieved from http://www.casel.org/state-scan-scorecard-project

Collaborative for Academic, Social, and Emotional Learning. (2015b). *Mission statement*. Retrieved from http://www.casel.org/: http://www.casel.org/

Collaborative for Academic, Social, and Emotional Learning. (2015c). Social and emotional learning core competencies. Retrieved from http://www.casel.org /social-and-emotional-learning/core-competencies/

Common Core State Standards Initiative. (2016a). College and career readiness standards for speaking and listening. Common Core State Standards. Retrieved from http://www.corestandards.org/

Common Core State Standards Initiative. (2016b). Development process. Retrieved from http://www.corestandards.org/about-the-standards/development-process/

Conley, D. T. (2014). The common core state standards: Insight into their development and purpose. Retrieved from http://www.ccsso.org/Documents/2014/CCSS_Insight_Into_Development_2014.pdf

Costello, B., Wachtel, J., & Wachtel, T. (2009). *The restorative practices handbook*. Bethlehem, PA: International Institute of Restorative Practices.

Daly, A. J., & Finnigan, K. S. (2009, January 30). A bridge between worlds: Understanding network structure to understand change strategy. *Educational Change, 11*(2), 111-138. Retrieved from http://link.springer.com/article/10.1007/s10833-009-9102-5

DeAntonio, M. (2015). *A comparative study of restorative practices in public schools* (Doctoral dissertation). Available from ProQuest Dissertations and Theses database. (UMI No. 3734773)

DeHoogh, A., Den Hartog, D. N., & Koopman, P. L. (2005, November). Linking the big five-factors of personality to charismatic and transactional leadership: Perceived dynamic work environment as a moderator. *Journal of Organizational Behavior*, *26*(7), 839-865. Retrieved from http://www.jstor.org/stable/4093958

DeMarrais, K. (2004). *Qualitative interview studies: Learning through experience*. Mahwah, NJ: Erlbaum.

Drewery, W. (2007). Restorative practices in schools: Far reaching implications. In G. M. Maxwell & J. H. Liu (Eds.), *Restorative justice and practices in New Zealand: Towards a restorative society* (pp. 199-213). Eugene, OR: Wipf and Stock.

Drucker, P., Collins, J., Kotler, P., Kouzes, J., Rodin, J., Rangan, V., & Hesselbein, F. (2008, June). The five most important questions you will ever ask about your organization. *Audio-Tech Business Book Summaries*, *17*(6), 1-16.

Dvir, T., Eden, D., Avolio, B., & Shamir, B. (2002, August 2002). Impact of transformational leadership on follower development and performance: A field experiment. *Academy of Management Journal*, *45*(4), 735-744. Retrieved from http://www.jstor.org/stable/3069607

Dweck, C. S. (2006). *Mindset: The new psychology of success. How we can learn to fulfill our potential*. New York, NY: Ballantine Books.

Ed-Data. (2015). Understanding the local control funding formula. Education Data Partnership: CDE, EdSource, & FCMAT. Retrieved from https://www.ed-data.k12.ca.us/Pages/LCFF.aspx

EdSource. (2016). Welcome to the local control funding formula guide. Retrieved from https://edsource.org/wp-content/uploads/2016/02/lcff-guide-print-version.pdf

Elias, M. J. (2014, November). Social-emotional skills can boost common core implementation. *Phi Delta Kappan*, *96*(3), 58-62. Retrieved from http://www.jstor.org/stable/24375945

Elving, W. J. (2005). The role of communication in organisational change. *Corporate Communications: An International Journal*, *10*(2), 129-136. Retrieved from http://www.emeraldinsight.com/1356-3289.htm

Erwin, D. G., & Garman, A. N. (2009, August). Resistance to organizational change: Linking research and practice. *Leadership and Organization Development Journal*, *31*(1), 39-56. doi:10.1108/01431131011010371

Every student succeeds act: A progress report on elementary and secondary education. (2015). Retrieved from https://www.whitehouse.gov/sites/whitehouse.gov/files/documents/ESSA_Progress_Report.pdf

Executive Office of the President. (2015). Every student succeeds act: A progress report on elementary and secondary education. Retrieved from https://www.whitehouse.gov/sites/whitehouse.gov/files/documents/ESSA_Progress_Report.pdf

Foster, R. (2008). *Individual resistance, organizational justice, and employee commitment to planned organizational change* (Doctoral dissertation). Available from ProQuest Dissertations and Theses database. (UMI No. 3291987)

Fouts, J. T. (2003). *A decade of reform: A summary of research findings on classroom, school, and district effectiveness in Washington state*. Retrieved from http://spu.edu/orgs/research/ADecadeofReformOctober192003v5.pdf

Fullan, M. (2001). *Leading in a culture of change*. San Francisco, CA: Jossey-Bass.

Fullan, M. (2002, May). The change leader. *Educational Leadership*, *59*(8), 16-21. Retrieved from http://ascd.org/publications/educational-leadership/may02/vol59/num/08/The-Change-Leader.aspx

Fullan, M. (2006, November). Change theory: A force for school improvement [Seminar Series Paper No. 157]. Victoria, Australia: Centre for Strategic Education.

Fullan, M. (2008). *The six secrets of change: What the best leaders do to help their organizations survive and thrive*. San Francisco, CA: Jossey-Bass.

Fullan, M. (2011, May). *Choosing the wrong drivers for whole system reform*. Victoria, Australia: Centre for Strategic Education. Retrieved from http://michaelfullan.ca/wp-content/uploads/2016/06/13396088160.pdf

Fullan, M. (2016). *The new meaning of educational change* (5th ed.). New York, NY: Teachers College Press.

Garcia, E. (2014, December 2). *The need to address non-cognitive skills in the education policy agenda*. Washington, DC: Economic Policy Institute. Retrieved from http://www.epi.org/publication/the-need-to-address-noncognitive-skills-in-the-education-policy-agenda/

George, B. (2003). *Authentic leadership: Rediscovering the secrets to creating lasting value*. San Francisco, CA: Jossey-Bass.

George, B. (2007). *True north: Discover your authentic leadership*. San Francisco, CA: Jossey-Bass.

Gewertz, C. (2015). The common core explained. Retrieved from http://www.edweek.org/ew/issues/common-core-state-standards/index.html

Gielten, E.A. (2016). What are zero tolerance policies in schools? Retrieved from http://education-law.lawyers.com/school-law/whats-a-zero-tolerance-policy.html

Goleman, D. (1995/2006). *Emotional intelligence* (10th anniversary ed.). New York, NY: Bantam Dell.

Goleman, D. (2000, March-April). Leadership that gets results. *Harvard Business Review*, 78-90.

Goleman, D., Boyatzis, R., & McKee, A. (2013). *Primal leadership: Unleashing the power of emotional intelligence*. Boston, MA: Harvard Business School.

Green, R. L. (2013). *Practicing the art of leadership: A problem-based approach to implementing the ISLLC standards* (4th ed.). Upper Saddle River, NJ: Pearson Education.

Gruenert, S. (2008, March/April). School culture, they are not the same thing. *Principal,* 56-59. Retrieved from https://www.naesp.org/resources/2/Principal/2008/M-Ap56.pdf

Harvey, T. R. (2001). *Checklist for change: A pragmatic approach to creating and controlling change* (2nd ed.). Lanham, MD: Scarecrow Press.

Harvey, T. R., & Broyles, E. A. (2010). *Resistance to change: A guide to harnessing its positive power*. Lanham, MD: Rowman & Littlefield.

Harvey, T. R., & Drolet, B. (1997). *Building teams building people* (2nd ed.). San Francisco, CA: R & L Education.

Hemmelgarn, A. L., Glisson, C., & James, L. R. (2006, February 27). Organizational culture and climate: Implications for services and interventions research. *Clinical Psychology: Science and Practice*, *13*(1), 73-89. doi:10.1111/j.1468-2850.2006.00008.x

Hopkins, B. (2004). *Just schools: A whole school approach to restorative justice*. London, UK: Jessica Kingsley.

Hurley, N., Guckenburg, S., Persson, H., Fronius, T., & Petrosino, A. (2015). What further research is needed on restorative justice in schools? Retrieved from https://www.wested.org/wp-content/files_mf/1437411340resourcewhatfurtherresearchisneededonrestorativejusticeinschools.pdf

International Institute for Restorative Practices. (2012). What is restorative practices? Retrieved from http://www.iirp.edu/what-is-restorative-practices.php

Jenkins, P. H. (1995). School delinquency and school commitment. *Sociology of Education*, *68*, 221-239. Retrieved from http://www.jstor.org/stable/2112686

Jennings, P. A., & Greenberg, M. T. (2009). The prosocial classroom: Teacher social and emotional competence in relation to student and classroom outcomes. *Review of Educational Research, 79*, 491-525.

Jones, S. M., & Bouffard, S. M. (2012). Social and emotional learning in schools from programs to strategies. *Social Policy Report*, *26*(4), 1-16.

Jones, S. M., Bouffard, S. M., & Weissbourd, R. (2013). Educators' social and emotional skills vital to learning. *Phi Delta Kappan, 94*, 62-65. Retrieved from https://www.district287.org/uploaded/A_Better_Way/Jones_Educators_social_and_emotional_article_(1).pdf

Kang-Brown, J., Trone, J., Fratello, J., & Daftary-Kapur, T. (2013, December). A generation later: What we've learned about zero tolerance in schools. New York, NY: Vera Institute of Justice, Center on Youth Justice. Retrieved from http://www.vera.org/sites/default/files/resources/downloads/zero-tolerance-in-schools-policy-brief.pdf

Klein, A. (2015). No child left behind: An overview. Retrieved from http://www.edweek.org/ew/section/multimedia/no-child-left-behind-overview-definition-summary.html

Klein, A. (2016, March 31). The every student succeeds act: An ESSA overview. *Education Week*, 1-6. Retrieved from http://www.edweek.org/ew/issues/every-student-succeeds-act/

Kohn, A. (2006). *Beyond discipline: From compliance to community*. Alexandria, VA: ASCD.

Korte, G. (2015, December 11). The every student succeeds act vs. no child left behind: What's changed? *USA Today*. Retrieved from http://www.usatoday.com/story/news/politics/2015/12/10/every-student-succeeds-act-vs-no-child-left-behind-whats-changed/77088780/

Kotter, J. P. (1995, March/April). Leading change: Why transformation efforts fail. *Harvard Business Review*, 59-67. Retrieved from http://www.gsbcolorado.org/uploads/general/PreSessionReadingLeadingChange-John_Kotter.pdf

Kotter, J. P. (2008). *A sense of urgency*. Boston, MA: Harvard Business School.

Kotter, J. P. (2012). *Leading change*. Boston, MA: Harvard Business Review Press.

Kruse, K. (2013, April 9). What is leadership? *Forbes Magazine*. Retrieved from http://www.forbes.com/sites/kevinkruse/2013/04/09/what-is-leadership/2/#46b178f3e825

Leadership-central. (2016). Burns transformational leadership theory. Retrieved from http://www.leadership-central.com/burns-transformational-leadership-theory.html#axzz4E2zn8DY4

Lefkoe, M. (2011, January 14). What type of change do you want in your organization? Lefkoe Institute. Retrieved from http://www.lefkoe.com/what-type-of-change-do-you-want-in-your-organization/

Lewin, K. (1951). *Field theory in social science: Selected theoretical papers*. (D. Cartwright, Ed.). New York, NY: Harper & Row.

Lorenzi, N. M., & Riley, R. T. (2000, March-April). Managing change. *Journal of the American Medical Informatics Association*, *7*(2), 116-124. Retrieved from http://www.ncbi.nlm.nih.gov/pmc/articles/PMC61464/

Losen, D. J., & Martinez, T. (2013). *Out of school and off track: The overuse of suspensions in American middle and high schools*. Los Angeles, CA: The Civil Rights Project. Retrieved from http://files.eric.ed.gov/fulltext/ED541735.pdf

Losen, D. J., Martinez, T., & Gillespie, J. (2012, April 10). *Suspended education in California*. Los Angeles, CA: The Civil Rights Project.

Macready, T. (2009, September). Learning social responsibility in schools: A restorative practice. *Educational Psychology in Practice*, *25*(3), 211-220.

Marzano, R. J., Waters, T., & McNulty, B. A. (2005). *School leadership that works: From research to results*. Alexandria, VA: ASCD.

McKee, A., Boyatzis, R., & Johnston, F. (2008). *Becoming a resonant leader: Develop your emotional intelligence, renew your relationships, and sustain your effectiveness*. Boston, MA: Harvard Business School.

McMillan, J. H., & Schumacher, S. (2010). *Research in education: Evidence based inquiry* (7th ed.). Upper Saddle River, NJ: Pearson Education.

Merriam, S. B. (2009). *Qualitative research: A guide to design and implementation*. San Francisco, CA: Jossey-Bass.

Miller, M. (2007, July/October). Transformational leadership and mutuality. *Transformation*, *24*(3/4), 180-192. Retrieved from http://www.jstor.org/stable /43052709

Mind Tools Editorial Team. (2016). Lewin's change management model. Retrieved from https://mindtools.com/pages/article/newPPM_94.htm

Moore, B. (2007). *The emotional intelligence coaching of school administrators: A comparative case study* (Doctoral dissertation). Available from ProQuest Dissertations and Theses database. (UMI No. 3252058)

Moore, B. (2009, Summer). Emotional intelligence for school administrators: A priority for school reform. *American Secondary Education*, *37*(3), 20-28. Retrieved from http://www.jstor.org/stable/41406313

Moua, M. (2010). *Culturally intelligent leadership: Leading through intercultural interactions*. New York, NY: Business Expert Press.

Myers, D. E., Milne, A. M., Baker, K., & Ginsburg, A. (1987). Student discipline and high school performance. *Sociology of Education*, *60*(1), 18-33.

National Conference of State Legislatures. (2014). Overview of the common core state standards. Retrieved from http://www.ncsl.org/research/education/common-core-state-standards-overview.aspx

National Conference of State Legislatures. (2015). Summary of the every student succeeds act, legislation reauthorizing the elementary and secondary education act. Retrieved from http://www.ncsl.org/documents/educ/ESSA_summary _NCSL.pdf

National Education Association. (2011). Multiple responses, promising results: Evidence-based, non-punitive alternatives to zero tolerance. Retrieved from http://www.nea.org/home/alt-zero-tolerance-policies.html

National Policy Board for Educational Administration. (2015). Professional standards for educational leaders. Retrieved from http://www.ccsso.org/Documents/2015/ProfessionalStandardsforEducationalLeaders2015forNPBEAFINAL.pdf

Nederveen Pieterse, A., Van Knippenberg, D., Schippers, M., & Stam, D. (2010, May). Transformational and transactional leadership and innovative behavior: The moderating role of psychological empowerment. *Journal of Organizational Behavior*, *31*(4), 609-623. Retrieved from http://www.jstor.org/stable/41683931

Nguyen Huy, Q. (1999, April). Emotional capability, emotional intelligence, and radical change. *Academy of Management Review*, *24*(2), 325-345. Retrieved from http://www.jstor.org/stable/259085

Odumeru, J. A., & Ogbonna, I. G. (2013). Transformational vs transactional leadership theories: Evidence in literature. *International Review of Management and Business Research, 2*(2), 355-361. Retrieved from http://www.irmbrjournal.com/papers/1371451049.pdf

Oreg, S. (2006, February). Personality, context, and resistance to organizational change. *European Journal of Work and Organizational Psychology*, *15*(1), 73-101. Retrieved from http://www.emeraldinsight.com/0143-7739.htm

Owings, W. A., & Kaplan, L. S. (2012). *Leadership and organizational behavior in education: Theory into practice*. San Francisco, CA: Pearson.

Patten, M. L. (2012). *Understanding research methods: An overview of the essentials* (8th ed.). Glendale, CA: Pyrczak.

Patton, M. Q. (2015). *Qualitative research and evaluation methods* (4th ed.). Thousand Oaks, CA: Sage.

Peterson, P. E. (2014). Study finds U.S. students lag behind those in other industrialized countries. Retrieved from http://www.washingtonexaminer.com/study-finds-u.s.-students-lag-behind-those-in-other-industrialized-countries/article/2548346

Phillips, G. W. (2010). *International benchmarking: State education performance standards*. Washington, DC: American Institutes for Research.

Porter, A., McMaken, J., Hwang, J., & Yang, R. (2011, April). Common core standards: The new U.S. intended curriculum. *Educational Researcher*, *40*(3), 103-116. Retrieved from http://www.jstor.org/stable/4123817

Rafferty, T. J. (2003, Spring). School climate and teacher attitudes toward upward communication in secondary schools. *American Secondary Education*, *31*(2), 49-70. Retrieved from http://www.jstor.org/stable/41064486

Ramage, M., & Shipp, K. (2009). *Systems thinkers*. New York, NY: Springer.

Ravid, R. (2011). *Practical statistics for educators* (4th ed.). Lanham, MA: Rowman & Littlefield.

Rousmaniere, K. (2013, November 8). The principal: The most misunderstood person in all of education. *The Atlantic*, 1-8. Retrieved from http://www.theatlantic.com/education/archive/2013/11/the-principal-the-most-misunderstood-person-in-all-of-education/281223/

Rudalevige, A. (2003, Fall). The politics of no child left behind. *Education Next*, *3*(4), 1-8. Retrieved from http://educationnext.org/the-politics-of-no-child-left-behind/

Saufler, C. (2011). School climate, the brain, and connection to school. Retrieved from http://www.iirp.edu/pdf/Bethlehem-2012-Presentations/Bethlehem-2012-Saufler.pdf

Sclafani, S. (2002-03, Winter). No child left behind. *Issues in Science and Technology*, *19*(2), 43-47. Retrieved from http://www.jstor.org/stable/43312298

Scribner, J. P., Cockrell, K. S., Cockrell, D. H., & Valentine, J. W. (1999). Creating professional learning communities in schools through organizational learning: An evaluation of the school improvement process. *Educational Administration Quarterly*, *35*(1), 130-160.

Smith, D., Fisher, D., & Frey, N. (2015). *Better than carrots or sticks: Restorative practices for positive classroom management*. Alexandria, VA: ASCD.

Sosik, J. J., & Mergerian, L. E. (1999). Understanding leader emotional intelligence and performance: The role of self-other agreement on transformational leadership perceptions. *Group and Organizational Management*, *24*(3), 367-390.

Spahr, P. (2014). What is transactional leadership? How structure leads to results. Retrieved from http://online.stu.edu/transactional-leadership/

Spillane, J. P. (2009, November). Managing to lead: Reframing school leadership and management. *Phi Delta Kappan*, *91*(3), 70-73. Retrieved from http://www.jstor.org/stable/40345094

Stutzman Amstutz, L., & Mullet, J. H. (2005). *The little book of restorative discipline for schools: Teaching responsibility; creating caring climates*. Intercourse, PA: Good Books.

Thapa, A., Cohen, J., Higgins-D'Alessandro, A., & Guffy, S. (2012, August). School climate research summary (Issue Brief No. 3). Bronx, NY: National School Climate Center.

Thorsborne, M., & Blood, P. (2013). *Implementing restorative practices in schools*. London, UK: Jessica Kingsley.

Tsoukas, H., & Papoulias, D. B. (2005). Managing third-order change: The case of the public power corporation in Greece. Retrieved from http://www.lrpjournal.com

University Alliance. (2016). The roles and duties of an assistant principal. Retrieved from http://www.uscranton.com/resources/careers/the-roles-and-duties-of-an-assistant-principal/#.V5qRRfkrKUk

U.S. Department of Education. (2013a). *California office to reform education: Local educational agencies' request for waivers under section 9401 of the elementary and secondary education act of 1965*. Sacramento, CA: Author.

U.S. Department of Education. (2013b). States granted waivers from no child left behind allowed to reapply for renewal for 2014 and 2015 school years. Retrieved from http://www.ed.gov/news/press-releases/states-granted-waivers-no-child-left-behind-allowed-reapply-renewal-2014-and-2015-school-years

U.S. Department of Education Office for Civil Rights. (2014). Civil rights data collection data snapshot: School discipline. Retrieved from http://www2.ed.gov/about /offices/list/ocr/data.html

Vander Ark, T. (2016). 20 resources for social emotional learning. Retrieved from http://www.teachthought.com/uncategorized/2-resources-for-social-emotional-learning/

VORP Central Valley. (2015). VORP history. Retrieved from http://vorp.org /history.shtml

Wachtel, T. (2004, August 5). From restorative justice to restorative practices: Expanding the paradigm. Bethlehem, PA: International Institute for Restorative Practices. Retrieved from http://www.iirp.edu/iirpWebsites/web/uploads/article_pdfs /bc04_wachtel.pdf

Waks, L. (2007). The concept of fundamental educational change. *Educational Theory*, *57*(3), 277-295.

Washington, M., & Hacker, M. (2005). Why change fails: Knowledge counts. *Leadership and Organization Development Journal*, *26*(5), 400-411. doi:10.1108/01437730510607880

Washington, R. R. (2007). *Empirical relationships among servant, transformational, and transactional leadership: Similarities, differences, and correlations with job satisfaction and organizational commitment* (Doctoral dissertation). Available from ProQuest Dissertations and Theses database. (UMI No. 3265529)

Weick, K. E., & Quinn, R. E. (1999, January). Research in organizational change and development. *Annual Review of Psychology*, *50*(1), 361-386. Retrieved from https://www.researchgate.net/publication/5279279_Research_in_Organizational_Change_and_Development

Weiner, R., & Hall, D. (2004, Sep-Oct). Accountability under no child left behind. *The Clearing House*, *78*(1), 17-21. Retrieved from http://www.jstor.org/stable/30181987

Weissberg, R. P., & Cascarino, J. (2013, October). Academic learning + social-emotional learning = national priority. *Phi Delta Kappan*, *95*, 8-13. Retrieved from http://www.jstor.org/stable/23617133

Yin, R. K. (2009). *Case study research: Design and methods* (4th ed.). Thousand Oaks, CA: Sage.

Yin, R. K. (2011). *Applications of case study research* (3rd ed.). Thousand Oaks, CA: Sage.

Yin, R. K. (2014). *Case study research: Design and methods* (5th ed.). Thousand Oaks, CA: Sage.

Zakrzewski, V. (2014, January 22). How to integrate social-emotional learning into common core. Berkeley, CA: University of California, Greater Good. Retrieved from http://greatergood.berkeley.edu/article/item/how_to_integrate_social_emotional_learning_into_common_core

Zinsser, K. M., Weissberg, R. P., & Dusenbury, L. (2013). *Aligning preschool through high school social and emotional learning standards: A critical (and doable) next step*. Chicago, IL: Collaborative for Academic, Social and Emotional Learning.

APPENDICES

Appendix A

Synthesis Matrix

Authors	Restorative Practices	Social-Emotional Learning	Emotional Intelligence	School Climate and Culture	Initiatives in Education (Zero Tolerance, NCLB, CCSS, ESSA, LCFF, LCAP)	Transactional Change	Transformational Change	Organizational Change	Orders of Change First, Second and Third	Fullan	Harvey	Lewin	Kotter	Resistance to Change	Educational Change	Leadership	High School Site Administrators	Qualitative Research
Ackerman Anderson, L., & Anderson, D. (2010a)							X									X		
Ackerman Anderson, L., & Anderson, D. (2010b)							X											
American Psychological Association Zero Tolerance Task Force (2008)					X													
Anderson, B. L. (1993)									X									
Anderson, D. L. (2012)						X	X	X										
Association for Supervision and Curriculum Development (ASCD) (2012)		X																
Avolio, B. J., & Bass, B. M. (1991)							X	X								X		
Avolio, B. J., Bass, B. M., & Jung, D. L. (1999)							X	X								X		
Avolio, B. J., & Gardner, W. L. (2005)							X	X								X		
Bartunek, J. M., & Moch, M. K. (1987)									X									
Bass, B. (1985)						X	X									X		
Bass, B. M. (1990)						X	X									X		
Bass, B. M. (1997)						X	X									X		
Bass, B. M. (1999)						X	X									X		

Bass, B. M., Avolio, B. J., Jung, D. I., & Benson, Y. (2003)							X									X			
Berkowitz, K. (2013)	X																		
Bernardo, R. (2015)															X				
Bidwell, A. (2014)					X														
Bishop, W. H. (2013)															X				
Blood, P., & Thorsborne, M. (2005)	X																		
Bradberry & Greaves (2009)			X																
Bradshaw, C., Koth, C., Bevans, K., Ialongo, N., & Leaf, P. (2008)				X															
Bromley, D. B. (1986)																			X
Brown, B., Tucker, P., & Williams, T. L. (2012)									X										
Brubaker, D., & Zimmerman, R. H. (2009)				X															
Burns, J. M. (1978)						X										X			
CalEdFacts (2014)					X														
California Department of Education (CDE) (2014)					X														
California Department of Education (CDE) (2015a)					X														
California Department of Education (2015b)					X														
California Department of Education (CDE) (2015c, November)					X														
California Department of Education (CDE) (2016a)					X														
California Department of Education (CDE) (2016b)					X														
California Office of Reform Education (2013)					X														
Cawsey, T., & Deszca, G. (2007)						X													

Cervone Ed.D., B., & Cushman, K. (2014a)	X																		
Cervone, Ed.D., B., & Cushman, K. (2014b, February)	X																		
Cole, K. Y. (2013)	X																		
Collaborative for Academic, Social and Emotional Learning (CASEL) (2013)		X																	
Collaborative for Academic, Social and Emotional Learning (CASEL) (2015a)		X																	
Collaborative for Academic, Social and Emotional Learning (CASEL) (2015b)		X																	
Collaborative for Academic, Social and Emotional Learning (CASEL) (2015c)		X																	
Common Core State Standards Initiative (2016a)					X														
Common Core State Standards Initiative (2016b)					X														
Conley, D. T. (2014)					X														
Costello, B., Wachtel, J., & Wachtel, T. (2009)	X																		
Daly, A. J., & Finnigan, K. S. (2009)																X			
DeAntonio, M. (2015)	X																		
DeHoogh, A., Den Hartog, D. N., & Koopman, P. L. (2005)						X													
DeMarrais, K. (2004)																			X
Drewery, W. (2007)	X																		
Drucker, P., Collins, J., Kotler, P., Kouzes, J., Rodin, J., Rangan, V., & Hesselbein, F. (2008)								X											
Dvir, T., Eden, D., Avolio, B., & Shamir, B. (2002)																	X		
Dweck, C. S. (2006)																		X	
Ed-Data: Education Data Partnership: CDE, EdSource, & FCMAT (2015)					X														
EdSource (2016)					X														
Elias, M. J. (2014)																			

Elving, W. J. (2005)		X																
Erwin, D. G., & Garman, A. N. (2009)								X										
Every Student Succeeds Act (2015)					X													
Executive Office of the President (2015)					X													
Foster, R. (2008)								X										
Fouts, J. T. (2003)		X			X													
Fullan, M. (2001)										X								
Fullan, M. (2002)										X								
Fullan, M. (2006)										X								
Fullan, M. (2008)										X								
Fullan, M. (2011)										X								
Fullan, M. (2016)										X								
Garcia, E. (2014)		X																
George, B. (2003)																X		
George, B. (2007)																X		
Gewertz, C. (2015)					X													
Goleman, D. (1995, 2006)			X															
Goleman, D. (2000)			X															
Goleman, D., Boyatzis, R., & McKee, A. (2013)			X															
Green, R. L. (2013)																X		
Gruenert, S. (2008)				X														
Harvey, T. R. (2001)							X											

Harvey, T. R., & Broyles, E. A. (2010)							X							X					
Harvey, T. R., & Drolet, B. (1997)							X							X					
Hemmelgarn, A., Glisson, C., & James, L. (2006)				X				X											
Hopkins, B. (2004)	X																		
Hurley, N., Guckenburg, S., Persson, H., Fronius, T., & Petrosino, A. (2015)	X																		
International Institute for Restorative Practices (2012)	X																		
Jenkins, P. H. (1995)					X														
Jones, S. M., & Bouffard, S. M. (2012)	X	X																	
Kang-Brown, J., Trone, J., Fratello, J., & Daftary-Kapur, T. (2013)					X														
Klein, A. (2015)					X														
Klein, A. (2016)					X														
Kohn, A. (2006)	X	X																	
Korte, G. (2015)					X														
Kotter, J. P. (1995)													X						
Kotter, J. P. (2008)													X						
Kotter, J. P. (2012)													X						
Kruse, K. (2013)																X			
Leadership-Central (2016)																X			
Lefkoe, M. (2011)								X											
Lorenzi, PhD, N. M., & Riley, PhD, R. T. (2000)						X	X												
Losen, D. J., Martinez, T., & Gillespie, J. (2012)					X														
Macready, T. (2009)	X	X																	

Marzano, R. J., Waters, T., & McNulty, B. A. (2005)															X			
McMillan, J. H., & Schumacher, S. (2010)																		
Merriam, S. B. (2009)																		X
Miller, M. (2007)																X		
Mind Tools Editorial Team (2016)												X						
Moore, B. (2007)			X														X	
Moore, B. (2009)			X														X	
Moua, M. (2010)																X		
Myers, D. E., Milne, A. M., Baker, K., & Ginsburg, A. (1987)					X													
National Conference of State Legislatures (2014)					X													
National Conference of State Legislatures (2015)					X													
National Education Association (2011)					X													
National Policy Board for Educational Administration (2015)					X													
Nederveen Pieterse, A., Van Knippenberg, D., Schippers, M., & Stam, D. (2010)						X	X											
Nguyen Huy, Q. (1999)			X															
Odumeru, J. A., & Ogbonna, I. (2013)						X	X											
Oreg, S. (2006)								X										
Owings, W. A., & Kaplan, L. S. (2012)						X	X									X		
Patten, M. L (2012)																		X
Patton, M. Q. (2015)																		X
Peterson, P. E. (2014)					X													
Phillips, G. W. (2010)					X													

Porter, A., McMaken, J., Hwang, J., & Yang, R. (2011)					X														
Rafferty, T. J. (2003)				X															
Ramage, M., & Shipp, K. (2009)															X				
Ravid, R. (2011)																			X
Rousmaniere, K. (2013)																		X	
Rudalevige, A. (2003)					X														
Saufler, C. (2011)	X																		
School Law—Gielten (2016)					X														
Sclafani, S. (2002-03)					X														
Scribner, J. P., Cockrell, K. S., Cockrell, D. H., & Valentine, J. W. (1999)																X			
Smith, D., Fisher, D., & Frey, N. (2015)	X																		
Sosik, J. J., & Mergerian, L. E. (1999)			X																
Spahr, P. (2014)						X													
Spillane, J. P. (2009)																X			
Stutzman Amstutz, L., & Mullet, J. H. (2005)	X																		
Thorsborne, M., & Blood, P. (2013)	X																		
Tsoukas, H., & Papoulias, D. B. (2005)									X										
University Alliance (2016)																X			
U.S. Department of Education (2013a)					X														
U.S. Department of Education (2013b)					X														
U.S. Department of Education Office for Civil Rights (2014)					X														
Vander Ark, T. (2016)		X																	

VORP Central Valley (2015)	X																		
Wachtel, T. (2004)	X																		
Washington, M., & Hacker, M. (2005)																	X		
Washington, R. R. (2007)						X	X												
Weick, K. E., & Quinn, R. E. (1999)								X											
Weiner, R., & Hall, D. (2004)					X														
Weissberg, R. P., & Cascarino, J. (2013)		X																	
Yin, R. K. (2009)																			X
Yin, R. K. (2011)																			X
Yin, R. K. (2014																			X
Zakrzewski, V. (2014)		X																	

Appendix B

BRANDMAN UNIVERSITY INSTITUTIONAL REVIEW BOARD
Research Participant's Bill of Rights

Any person who is requested to consent to participate as a subject in an experiment, or who is requested to consent on behalf of another, has the following rights:

1. To be told what the study is attempting to discover.

2. To be told what will happen in the study and whether any of the procedures, drugs or devices are different from what would be used in standard practice.

3. To be told about the risks, side effects or discomforts of the things that may happen to him/her.

4. To be told if he/she can expect any benefit from participating and, if so, what the benefits might be.

5. To be told what other choices he/she has and how they may be better or worse than being in the study.

9. To be allowed to ask any questions concerning the study both before agreeing to be involved and during the course of the study.

10. To be told what sort of medical treatment is available if any complications arise.

8. To refuse to participate at all before or after the study is started without any adverse effects.

9. To receive a copy of the signed and dated consent form.

10. To be free of pressures when considering whether he/she wishes to agree to be in the study.

If at any time you have questions regarding a research study, you should ask the researchers to answer them. You also may contact the Brandman University Institutional Review Board, which is concerned with the protection of volunteers in research projects. The Brandman University Institutional Review Board may be contacted either by telephoning the Office of Academic Affairs at (949) 341-9937 or by writing to the Vice Chancellor of Academic Affairs, Brandman University, 16355 Laguna Canyon Road, Irvine, CA, 92618.

Appendix C

Informed Consent

RESEARCH STUDY TITLE: The Perceptions of High School Principals in Three Central and Northern California School Districts on the Implementation of Restorative Practices and Resistance to Change Through the Theoretical Lens of Kotter's Eight-Stage Change Model

Brandman University
16355 Laguna Canyon Road
Irvine, CA 92618

RESPONSIBLE INVESTIGATOR: Dena Michelle Fiori, Doctoral Candidate

TITLE OF CONSENT FORM: Research Participant's Informed Consent Form

PURPOSE OF THE STUDY: You are being asked to participate in a research study conducted by Dena Michelle Fiori, M.Ed., PPS-C, a doctoral student from the Organizational Leadership Program at Brandman University. The purpose of this qualitative case study was to explore and describe the perceptions of high school principals in three Central and Northern California school districts on the implementation of restorative practices and resistance to change through the theoretical lens of Kotter's eight-stage change model. In addition, this study explored and described the role of resistance to change during the implementation phase of Restorative Practices perceived by high school principals in three Central and Northern California school districts.

In participating in this research study, I agree to participate in a 12-question interview. The interview will take approximately 45 to 60 minutes and will be audio-recorded. The interview will take place at a location of my choosing. During the interview, I understand that I will be asked a series of questions based, on Kotter's Eight-Stage Change Model, that focus on the implementation of Restorative Practices.

I understand that:

a. There are no known major risks or discomforts associated with this research. The session will be held at a location of my choosing to minimize inconvenience. Some interview questions will require you to reflect on your experience and/or observations in the implementation of Restorative Practices as a change initiative.

b. There are no major benefits to me for participation, however, sharing my experiences as a high school site administrator could collectively contribute to this study. The information from this study is intended to inform researchers, policymakers, and districts about the implementation of Restorative Practices as a change initiative and any perceived resistance met.

c. I will not receive money for my involvement in this study.

d. Any questions I have concerning my participation in this study will be addressed to Dena Michelle Fiori, Brandman University Doctoral Candidate. Dena Michelle Fiori can be reached at (xxx) xxx-xxxx or xxxxxx@xxxxxxxxxxxxx.xxx.

e. I can refuse to participate or withdraw from this study at any time without any negative consequences. Also, the investigator may stop the study at any time.

f. My interview will audio-recorded, and the recording will not be used beyond the scope of this study.

g. Audio recordings will be used to transcribe the interview. Once the interview is transcribed, the audio, interview transcripts, and survey will be securely maintained by the principal investigator for a minimum of five years.

h. None of my personal identifiable information will be released without my separate consent and that all identifiable information will be protected to the limits allowed by law. If the study design or the use of the data is to be changed, I will be so informed and my consent re-obtained. If I have any questions, comments, or concerns about the study or the informed consent process, I may write or call of the office of the Executive Vice Chancellor of Academic Affairs, Brandman University, and 16355 Laguna Canyon Road, Irvine, CA 92618, (949) 341-7641. I acknowledge that I have received a copy of this form and the Research Participant's Bill of Rights.

I have read the above and understand it and hereby voluntarily consent to the procedures(s) set forth.

Signature of Participant or Responsible Party	**Date**
Signature of Witness (if appropriate)	**Date**
Signature of Principal Investigator	**Date**

Brandman University IRB September 2016

Appendix D

Interview Protocol

Good Morning/Afternoon/Evening,

As mentioned in our previous correspondence, I am the primary researcher for this dissertation research, Dena Michelle Fiori. Thank you again for agreeing to participate in this interview. As part of my dissertation research for the doctorate degree in Organizational Leadership at Brandman University, I am interviewing high school site principals. The purpose of this interview is to obtain information, from your perspective, on the implementation of the change initiative Restorative Practices. The secondary purpose is to discover any resistance that may have occurred during this implementation. The interview will take 45-60 minutes to complete and will include 12 questions. I may ask some follow-up questions for further clarification if needed.

I would like to remind you any information that is obtained in connection to this study will remain confidential. All data will be transcribed and recorded using an alpha/numerical identifier known only to the researcher. There will be no reference to the individual or the institution of employment. Once I record and transcribe the data, I will send you via email the transcription for your review. If any thoughts or ideas were not captured accurately, you will have an opportunity to revise your answer.

Did you receive the Informed Consent and Brandman University Bill of Rights that was sent via email? Do you have any questions or need further clarification on either document?

At any point during the interview you may ask to skip a question or stop the interview. With your permission, I would like to tape record this interview to ensure an accurate recording of your responses. Do you agree to being recorded?

Before we begin, do you have any questions?

Interview Questions:

There are several programs that schools can use to increase social-emotional learning, encourage relationship building, and reduce suspension and expulsion rates.

1. Tell me about how your district decided to implement Restorative Practices?
    a. Can you tell me more about the steps taken that led to the selection of Restorative Practices as a change initiative?
    b. How were you notified at the school site that Restorative Practices would be implemented?

2. What were the determining factors that created a sense of urgency towards the implementation of Restorative Practices at your school site?

a. Who on your school site was responsible for communicating this sense of urgency to the staff?
b. Who was responsible for the implementation of Restorative Practices at the school site?

3. Was a team developed to support the implementation of Restorative Practices?
    a. Can you describe the makeup of your team and their association with your school?
    b. How were the team members selected?

4. Did you create a vision for this change initiative?
   If yes,
    a. Did the team create this vision? If not, who created the vision and how was it communicated to you?
    b. What strategy did the team use to ensure this vision would be?
   If no,
    a. Why do you think that was the case?

5. How was the vision of Restorative Practices communicated to staff members?
    a. How was this vision received by the staff members?
   If no vision was created,
    b. Can you expand a bit on how staff members were educated on the purpose of the implementation of Restorative Practices?

6. When one is leading change it is not uncommon to discover some resistance. Did you encounter obstacles or resistance when this change initiative was announced and implemented?
    a. How was this resistance communicated to you (ex: verbal encounter, email, text message, etc.)?
    b. Were there any specific behaviors, comments, or beliefs you observed as resistance?
    c. What was your response to the resistance met?

7. Did you use any strategies to encourage your team to celebrate small wins during the change process?
    a. Can you give me some examples?

8. How did all staff receive training on the implementation of Restorative Practices principles?
    a. What specific topics were covered during these trainings?
    b. What resources were provided to staff to support the implementation?

9. How did the team continually promote and encourage the use of Restorative Practices with staff?
    a. Can you give me an example?

10. When did you recognize that Restorative Practices had become embedded in your campus culture?
    a. What specific actions occurred that led you to believe it had become embedded in the culture?
    b. Can you give me an example?

11. Since the implementation of Restorative Practices at your school site, has it been sustained with fidelity?

12. Is there any additional information pertaining to our interview today, that was not addressed, that you would like to add?

This concludes our interview. Within the next few weeks, I will email you the transcription from our interview. If you would like a copy of my final research findings, once the study has been approved, I would be glad to share it with you. I would like to thank you once again for participating in this dissertation research study and helping to add to this body of literature.

Appendix E

BRANDMAN University Chapman University System

Principal Request to Participate Letter

Date: September 10, 2016

Dear Potential Study Participant:

I am a doctoral candidate at Brandman University researching towards the doctorate in Organizational Leadership. I am conducting a study on the perception of high school principals regarding the implementation of Restorative Practices thought he lens of Kotter's Eight-Stage Change Model. A secondary component of this study is to discover any perceived resistance that occurred during the implementation of the change initiative of Restorative Practices.

I am asking for your assistance in the study by participating in an interview which will take from 45-60 minutes and will be set up at a time that is convenient for you. If you agree to participate in an interview, you will be assured that it will be completely confidential. No names will be attached to any notes or records from the interview. All information will remain in locked files accessible only to the researcher. No one from your school district will have access to the information obtained during the interview. You will be free to stop the interview and withdraw from the study at any time. Further, you may be assured that the researchers are not in any way affiliated with your school district.

I am available to answer questions via telephone (xxx) xxx-xxxx or via email at xxxxxx@xxxxxxxxxxxxx.xxx, to answer any questions you may have.

Please email or call me if you are willing to consider being a part of this study. Your participation would be greatly valued.

Sincerely,

Dena Michelle Fiori, M.Ed., PPS-C
Doctoral Candidate Bradman University in Organizational Leadership