PREFACE

New to This Edition

The evolving culture of our contemporary society continues to have an ongoing and profound effect on the practice of human resources administration in schools and school districts that has necessitated a revision of the previous edition. An example of this evolving culture is set forth in a new section in each chapter concerning how technology affects the various dimensions of human resources administration. The use of technology has enriched the human resources function in virtually every public school and school district. Technology affects not only central office administration but also every level of instruction and learning.

Further, the American Recovery and Reinvestment Act of 2009 set aside billions of dollars for education that are beneficial to many public school districts adversely affected by the economic downturn. This is particularly true of many small- and medium-size school districts, which appear to have been more severely affected.

The tenth edition of Human Resources Administration in Education sets forth information relative to human resources administration that has surfaced since the publication of the ninth edition. Among other updated material, this edition:

- Incorporates throughout the text the effects of the economic downturn on human resources administration
- Uses more stories and personal examples in the form of focus scenarios at the beginning of each chapter
- Ends each chapter with a reflective question on the focus scenario
- Updates all endnotes to provide graduate students with the most up-to-date resources relevant to each chapter
- Updates all selected bibliographic material to give the graduate student access to the latest information on best practices in human resources administration
- Includes a section on value-added evaluations in Chapter 7
- Provides more extensive information on win–win collective negotiations in Chapter 8
- Weaves technology information throughout the text in terms of general language such as social media
- Moves crisis management to Chapter 10 because of legal and ethical considerations
- Emphasizes culture as a significant factor in dealing with human resources issues through stories and personal examples

Continuing Issues That Enhance the Tenth Edition

Legislation continues to have an impact on human resources management. The U.S. Congress enacted Title V of the Rehabilitation Act of 1973 and the Americans with
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Disabilities Act of 1990, which is the most comprehensive legislation ever passed protecting the rights of individuals with disabilities. Furthermore, the Civil Rights Act of 1991 has the potential of costing violators punitive damages through the decisions of jury trials. In 1993, Congress also passed the Family and Medical Leave Act, which gives eligible employees the right to leave employment under certain circumstances. Testing for alcohol and controlled substances is now mandated for particular occupations, such as school bus drivers, by the Omnibus Transportation Employee Testing Act of 1991. The Health Insurance Portability and Accountability Act of 1996 assures employees that they, their spouses, and their dependents cannot be denied health insurance coverage because of an illness. In 2002, the No Child Left Behind Act ushered in the most extensive changes in federal law concerning public school education since the early 1970s. Beginning in 2001, military reserves and National Guard units have been mobilized into active duty as a consequence of the wars in Afghanistan and Iraq. This has prompted most human resources administrators to create policies and procedures that address school districts’ responsibilities to those employees who have been called up for duty in the armed services.

Sexual harassment in the workplace has gained the attention of school district personnel across the United States as the media have presented coverage of the consequences of this inappropriate and illegal behavior. In addition, the phenomenon of collaborative bargaining as an alternative to the traditional model of negotiations has become more prevalent in school districts.

Health risks in the workplace, an issue that is related to the ever-increasing cost of workers’ compensation, are seriously affecting school district budgets. Likewise, the costs of fringe benefits continue to rise, prompting managed healthcare as an alternative to traditional medical and hospital insurance programs.

The ethical responsibilities of human resources administrators have become a focus in light of the national concern over the honesty of employees in all levels of business, government, religion, and public education. The underlying cause of the “reform” movement is the level of accountability or lack thereof in public schools. Taxpayers in general and parents in particular believe that they are not receiving their proper entitlement. The problem of accountability is a “people” problem, and, thus, it is a human resources administration problem. An important response to this lack of accountability is to make transparent all of the financial transactions of the school district. Such transparency enhances accountability, which ensures equality of opportunity in all human resources policies and procedures.

It is evident that school district administration parallels that of corporations and other organizations in U.S. society. Fiscal management, curriculum development, physical plant management, employee supervision, and human resources administration have become specialties that require educationally sophisticated administrators.

The tenth edition of this book should be of interest to three categories of individuals: professors of educational administration, who have the responsibility of teaching courses in school human resources administration; practicing central office administrators and building principals, who want to become more familiar with the field of human resources management; and school board members and superintendents, who may be searching for a model in order to establish a central office human resources administrative position.

Chapter 1 establishes the rationale and organizational structure that support effective human resources administration. Chapters 2 through 5 are concerned with the acquisition of personnel, and Chapters 6 through 9 focus on personnel retention. Each chapter
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addresses a major dimension of the human resources management function and identifies the processes, procedures, and techniques necessary to carry out these dimensions. Finally, Chapter 10 considers the legal, ethical, and policy implications of human resources administration.

Acknowledgment

I give my sincere thanks to my professorial colleagues and their students who reviewed *Human Resources Administration in Education* and made valuable suggestions for improvement. I continue to incorporate as many of their suggestions as possible. I particularly want to thank the reviewers of this edition: Clay Baulch, Sul Ross State University–Rio Grande College; Edward P. Cox, University of South Carolina; Marla Israel, Loyola University Chicago; Ruthie S. Stevenson, Mississippi College; and Alan Vaughan, Cambridge College and Troy University. Also, my research assistant, Lina Harati, was most helpful as I prepared the material for the tenth edition.

R. W. R.
Organizational Dimensions

Focus Scenario

You have just been hired as the assistant superintendent for human resources in a school district with four elementary schools, a middle school, and one high school. There is one other assistant superintendent responsible for curriculum development. The human resources department consists of just you and a secretary. The department has been functioning only in the areas of personnel recruitment and selection. Given the fact that no additional personnel will be added to the department, you have decided that the human resources function must become a shared responsibility with other administrators, teachers, and staff members in the district.

The school district has one hundred professional employees, which includes building-level administrators, teachers, counselors, and media specialists. There are thirty support personnel, including secretaries, bus drivers, maintenance workers, and housekeeping staff. There are approximately two thousand students in the school district.

The major issue facing the school district is the lack of financial resources. Over the past five years, the district has tried to increase the tax levy through two referendums, both of which failed. In addition, the new furniture factory in town has drawn many migrant workers and their families, necessitating the opening of additional classrooms and the hiring of additional language arts teachers who can instruct children in English as a second language.

Even though you meet all the requirements of the job description, the superintendent of schools and the members of the board of education are concerned as to whether you or, in fact, anyone will be able to develop an efficient and effective human resources department given the lack of resources in the school district. Also, you have had minimum experience in administering human resources from a central office perspective. However, they were impressed with your eagerness to try innovative methods. Obviously, the superintendent and the board members are particularly concerned about the way in which you intend to organize the department and engage other administrators, teachers, and staff members in carrying out the dimensions of the human resources function.

Please use both the “Discussion Questions and Statements” and “Suggested Activities” at the end of this chapter to help you develop a way of addressing the issues in this section.
Structural Framework of Public Education

The system of free and universal elementary and secondary education in the United States is one of our nation’s unique and distinguishing characteristics. It is generally considered to be our greatest safeguard of freedom, and the best guarantee for the economic and social welfare of our citizens.

As an institution, the school receives its mandate from the society it serves. It is, however, only one of many institutions. The government, the family, and the church also play roles in our society, and these institutions have complementary purposes. Each provides for the advancement of society in general and the individual citizen in particular. The school’s educational programs would be ineffective without the support of the government, the family, and the church. A hallmark, however, of modern-day society and these institutions is change, which is set forth dramatically in the book *Microtrends: The Small Forces Behind Tomorrow’s Big Changes*, by Mark Penn and E. Kinney Zalesne. The authors identify seventy-five trends that are very powerful forces in our society, all emerging without the understanding of most members of our society but drastically changing our lives. The implication is that 1 percent of the population can have a significant effect on the lives of all Americans because of the impact of the Internet and other mass communication media on developing public attitudes and values.¹

These notions focus on communicative and technological advancement, but in the complexity of any given society, infinite streams of change occur simultaneously. The family, the church, the school, and the government, with all their subcomponents, are not static institutions, but rather evolving entities. Change is not only continual but also accelerative, and it is further complicated by the fact that it occurs unevenly. Technology may be currently undergoing mutations faster than educational programs can make this new knowledge available, which in turn leaves students possibly years behind in learning about new advances.

Our perception of reality and how it relates to societal and individual needs determines the content of our educational programs. Although fundamental principles such as individual freedom, individual responsibility, and democratic government must be taught continuously in our schools, the accelerating rate of change in areas such as technology demands that our schools be flexible enough to adjust to new developments and conditions. Education cannot be static in the dynamic milieu of reality.

Responsibilities of Federal and State Governments

Carrying out the goals of American education is the responsibility of the individual states. The U.S. Constitution is conspicuous in its omission of any provision on or specific reference to education. The Tenth Amendment to the Constitution, ratified in 1791, states, “the powers not delegated to the United States by the Constitution, nor prohibited by it to the States, are reserved to the States respectively, or to the people.” Thus, education has consistently been considered a state function.

Experience shows, however, that the federal government has been involved; in fact, its involvement has been extensive. Through the legislative branch, Congress provides funds that support special services and programs in local school districts. Through the U.S. Office of Education, the executive branch of the government first exercised authority over
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educational matters. The creation of a Cabinet-level Department of Education exemplifies the extent of this involvement. The many Supreme Court decisions affecting education testify to the influence of the judicial branch of the federal government on our schools.

In an ever-shrinking world and nation, the goals of U.S. education cannot be left solely to the discretion of the states. The involvement of the federal government, however, should not supplant the jurisdiction of state governments, but rather should complement and enrich those efforts.

The authority of the states to create and govern public schools is embodied in the state constitutions and exercised through the state legislatures. All state legislatures have delegated certain aspects of this authority to local units—boards of education. To ensure some control over local units, state legislatures have established minimum educational program and teacher certification requirements and have provided state funds to help finance education.

The administrative arm of most state legislatures is a state department of education, which is usually governed by a board and administered by a commissioner or state superintendent. Figure 1.1 illustrates the relationship between the state and local boards of education.

The National Council of Chief State School Officers and all other national associations of school board members, superintendents of schools, and other administrator organizations emphasize the state’s educational responsibility and the state’s relationship to local and federal agencies.

The organizational structure of educational governance in the United States is predicated on the constitutional premise that public education is a function of state government. Thus, through its constitution and legislation, each state is responsible for the organization and administration of public education and for general supervision of nonpublic schools. It is common practice for state boards of education to delegate the authority to organize and operate schools to various types of local governance and administrative structures. Local boards of education create the policies that govern school districts, and such boards hire superintendents of schools to administer the educational services and implement the policies of their respective boards. However, there is a shared interest in public education among local, state, and federal governments because of the importance of an educated citizenry. It is our safeguard of freedom to have citizens who understand the structure of government and who participate in our representative form of government.

![Jurisdictional Flowchart](image-url)
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Further, each branch of government must provide the services that are under its jurisdiction in order to support the total educational responsibility. Thus, the local boards of education initiate the educational enterprise, whereas the states provide the funding and monitoring necessary to achieve equality of educational opportunity. The federal government must provide funds and support to safeguard the interests of the United States.2

No Child Left Behind and School Reform

President George W. Bush signed the No Child Left Behind Act (NCLB) into law in January 2002; this new law reauthorized the Elementary and Secondary Education Act. NCLB ushered in the most extensive changes in federal law concerning public school education in forty years. It is the first time that federal legislation mandated student success; all other federal legislation mandated opportunity rather than success.

The law requires all children to be proficient in reading and mathematics by 2014. Other provisions of the law mandate improved communications with parents and improved safety at school for children. Although NCLB has certain provisions that apply only to Title I schools, the law clearly requires all states to develop a single system of accountability so there are uniform standards for all children. Further, schools are required to make adequate yearly progress (AYP) toward the 2014 goal. Thus, each state must develop student testing programs that demonstrate satisfactory student improvement each year. States are also required to pay particular attention to the progress of children from minority groups such as African Americans, Asians, and Hispanics. Children with disabilities form another identifiable group whose progress must be monitored for AYP.

The consequences of not achieving AYP vary from being designated as a school needing improvement to, after five years of not achieving AYP, being a school facing severe repercussions, such as having school personnel replaced or the school year extended. Further, if a student is a victim of a violent crime, that student must be allowed to transfer to another school in the district. Of course, problems with this provision arise if there is only one school with the appropriate grade level in the district, or if other schools are far from the student’s home school.3

For human resources administration, the provisions of NCLB require serious attention. First, the requirement to hire highly qualified teachers who are capable of helping students meet the proficiency requirement places a significant responsibility on all administrators, faculty, and staff members involved in the human resources function.4 Chapter 2 of this text, “Human Resources Planning,” sets forth a planning process that places a high priority on identifying the present and future goals of a school district as they relate to the current and future qualifications needed in employees. Chapter 3, “Recruitment,” explains the methods that can be used to locate and attract the best possible candidates for administrative, faculty, and support positions in a school district. Chapter 4, “Selection,” outlines the steps that can be used to hire the most qualified applicants.

The provision that students must demonstrate AYP has serious implications for teacher performance evaluation and staff development. Chapter 7, “Performance Evaluation,” explains best practice in the evaluation of school district employees such as administrators, teachers, and support personnel. Chapter 6, “Staff Development,” sets forth a critical dimension of the human resources function because a continual upgrade of knowledge and
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skills is required to meet the ever-changing needs of students. Further, research is constantly improving our subject-matter knowledge base and pedagogical methodologies.

Finally, the consequences for noncompliance with AYP for five years may result in the replacement of administrators, teachers, or staff members. Chapter 7, “Performance Evaluation,” also contains an extended section on how to ensure due process for those administrators, teachers, and staff members who are not meeting expectations, which could lead to termination of employment.

Highlighting these particular chapters is meant to focus attention to specific processes and procedures. However, the human resources function, as laid out in this text, is a seamless function with various dimensions. It would be a mistake to think that the various provisions of NCLB affect only certain aspects of the human resources function; rather, the law affects all interrelated dimensions of this function.

NCLB is a particular manifestation of school reform. The reform movement is always present in education because change and improvement are embedded in the education profession. The development of each child’s potential to his or her maximum capacity is the goal of education. The culture of society is the milieu within which administrators, teachers, and staff members must carry out their responsibilities. Thus, school reform occupies the attention of all administrators, particularly human resources administrators, because people are the initiators and implementers of reform.

There are certain directions that are prevalent in the present reform movement. Perhaps the most evident is the learning community approach, which views learning as the major focus of all endeavors. Not only students but also educators are encouraged to learn from each other. This situates schools and school districts in such a manner that the organization itself, as a system and in a corporate sense, begins to learn. Thus, schools and school districts become reframed.

Reform begins with a vision formalized in individual schools through the leadership of the principal and the teachers. Evidence-based decisions must be made by the leadership team, the principal, and teachers to formulate objectives and strategies to improve student performance. Today, this assessment and the formulation of objectives and strategies can be significantly enhanced through technology.

Thus, formulas for successful reform have some common elements, including the following:

- Vision that uses a learning community approach and leads to organizational reform
- Establishment, in each school, of a leadership team that includes teachers in consort with the principal
- Importance placed on making decisions based on evidence
- Beneficial use of technology in management and instructional strategies

These factors clearly recognize the significance of establishing a human resources function capable of planning, recruiting, and retaining the best educators possible; reform is dependent on the quality of the people hired to carry it out.

**Responsibilities of the Board of Education**

School districts are perhaps the most democratically controlled of any agencies of government. The citizens of a local community elect school board members who are charged
with formulating policies for the governance and administration of the schools. State departments of education exercise some regulatory authority, assuring that a minimum educational program is provided in every school district, but the citizens of the local districts maintain control of the schools through locally elected boards.

As the duties and responsibilities of school boards are considered, it is essential to bear in mind that education is a state function. The courts have consistently upheld this principle. By virtue of the authority delegated to school boards from each state legislature, boards represent the state even though the members are locally elected. Board members, as individuals, exercise no authority outside a legally constituted meeting. Policies can be agreed on only in an official meeting, and individual members cannot commit the board to any definite action except as authorized by the board at a legal meeting.

In exercising their authority to govern schools, boards of education should formulate and adopt policy statements carefully. This difficult task cannot be accomplished successfully without guidance from the professional educational staff and, at times, an attorney. Board policies must not conflict with the U.S. Constitution, federal law, or federal court decisions. In like manner, policies must not conflict with the appropriate state constitution, statutes, and court decisions. Regulations issued by a state department of education should be considered by a board in creating policies but may be ignored. However, penalties such as loss of state aid make it impractical for a school board to create policies in conflict with such regulations. Local traditions, opinions, and goals should also be taken into consideration because policies objectionable to the local community will weaken citizen support. There are many more influences in our contemporary society that affect board decisions today than there were even five years ago. Figure 1.2 illustrates some of these influences on policy formulation.

Some advantages of developing policies are outlined in the book *The School and Community Relations* and may serve as a rationale for school boards:

- Policy facilitates the orientation of new board members regarding relations between the school and the community.
- Policy facilitates a similar orientation for new employees, both professional and non-professional, in the school system.
- Policy acquaints the public with the position of the school board and encourages citizen involvement in educational affairs.
- Policy provides a reasonable guarantee that there will be consistency and continuity in the decisions that are made under it.

![FIGURE 1.2 Influences on Policy Making](image-url)
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- Policy informs superintendents what they may expect from the board and what the board may expect from them.
- Policy creates the need for developing a detailed program in order to implement it.
- Policy provides a legal reason for the allocation of funds and facilities in order to make the policy work.
- Policy establishes an essential division between policy making and policy administration.  

School board policies should not be confused with administrative rules and regulations, which constitute the detailed manner by which policies are implemented. Rules and regulations delineate who does what, when, and where. In fact, many rules and regulations may be required to implement one policy.

Board of education policies should be stated in broad, general terms but be clear enough to allow for executive direction and interpretation. The policies reveal the philosophy of the board of education and provide the rationale for the subject about which a policy is being made. The policy may also suggest how it is to be carried out, but it should never be executive in substance or tone. Policies treat situations that are likely to occur repeatedly and are subject to continual review by the board so as to be sensitive to changing conditions. In like manner, policies authorize all school programs and activities, and provide stability when there is a change in personnel. In format, policies should be brief, clear, concise, and complete.

After the board of education establishes its policies, the superintendent of schools and his or her staff are responsible for establishing administrative processes and procedures that implement the board policies. These policies are usually also incorporated into a manual that can easily be consulted by administrators, teachers, and citizens.

There are four popular formats used in writing policies, the most common of which is the resolution style, on which the school board votes to take action. Equal employment opportunity and affirmative action policies are usually adopted in this resolution style. A second format sets forth the rationale for the policy and establishes broad goals. The third style incorporates an identification of who is responsible for implementing the policy. This is a common practice in formulating policies that address a specific function such as collective bargaining. For example, the policy might identify the director of employee relations as the chief negotiator for the school board and establish the confines within which he or she will function. A fourth format is used when the school board wants to eliminate possible misunderstanding about how the policy is to be implemented. This type of style, therefore, incorporates administrative rules and regulations.

Administrative Process

Theoretical Considerations

Administration is an indispensable component of all institutions in organized society, yet it is often taken for granted. The need for administration becomes evident whenever a task has to be performed by two or more people. Many ancient records of significant events describe administrative activities. Building the pyramids, supervising medieval feudal domains, and governing colonies in distant hemispheres have demanded a degree of administrative skill and knowledge of the administrative process.
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Our understanding of the nature of administration has evolved. The earliest concepts centered on the action model. Administrators were those who took charge of an activity and accomplished a task. The formal study of administration is a recent phenomenon that has found its most fertile climate in the business world, where much study is devoted to the execution of managerial leadership.

The need for the formal study of administration in public education grew out of the increased complexity of urban school districts. The illusion that anyone with a good general education could become an effective administrator was quickly shattered during the urbanization period.

Administration is the social process of managing human, financial, and material resources toward the fulfillment of a mission. The school administrator fulfills these requisites by developing and establishing administrative processes, procedures, and techniques that harness human, financial, and material energies. The importance of administrative leadership stems from its potential for converting these energies within an organization into the fulfillment of educational objectives.

This definition of administration views it as an executive activity, distinct from policy making. Administration is primarily concerned with the implementation, not the making, of policy. More specifically, the administration of a district is responsible for carrying out the policies of the board of education.

The systems approach to administration has gained steadily in popularity ever since President Lyndon B. Johnson mandated its implementation in federal agencies and the outcry for accountability in the public sector advanced its use. In the systems approach, the school is viewed as a network of interrelated subsystems. Emphasis is given to formulating short- and long-range objectives that can be translated into operational activities that are implemented and evaluated.

The approach followed in this text focuses on the human resources function as a function. Thus, administration is viewed as an all-encompassing process composed of various functions. Three of the most critical functions in a school system are human resources administration, instructional programs administration, and support services administration. Support services include transportation, food services, and financial administration. Each of these functions has goals that are implemented through administrative processes, procedures, and techniques, which are collectively referred to as management. This text, of course, centers on the human resources function and its management.

Functions are carried out by administrators within a given organizational framework. The remaining portion of this section delineates and clarifies the role of the superintendent of schools and major central office administrators.

Organization of the Central Office

Historically and, in most states, by statutory mandate, school boards have delegated the responsibility for implementing policies to a chief executive officer—the superintendent of schools. The superintendent assumes full control of all operations. As school districts grow in size and complexity, it becomes necessary to develop specialized functions, and the central office staff comes into being. However, school district employees, professional and otherwise, ultimately report to the superintendent and are subordinate to him or her. The superintendent is the only employee who deals with the board of education on a regular and direct basis.
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The superintendent’s role can be described in terms of the three major roles incorporated into this one position: chief advisor, executive officer, and educational leader.

Chief Advisor
The superintendent is the main consultant and advisor to the school board on all matters concerning the school district. As such, he or she is expected to contribute to the board’s deliberations by furnishing reports, information, and recommendations, both on request of the board and through self-directed initiative. A list of the superintendent’s duties and functions as the board’s chief advisor includes the following:

- Formulate and recommend human resources policies necessary for the efficient functioning of the school staff.
- Provide information to the school board on vital matters pertaining to the school system.
- Prepare and submit to the board a preliminary budget.
- Provide employment recommendations for candidates. (Candidates should be employed only on recommendation of the superintendent even though the board has the authority to reject specific candidates.)
- Submit an annual report to the board on the operations of the school system.

Executive Officer
Once the board of education establishes a policy decision, it becomes the responsibility of the executive officer of the board and the district’s staff to execute that decision. The administration should implement board policies via rules and regulations. As the chief executive officer of the district, the superintendent sets the tone for the entire system. In performing this function, the duties and responsibilities of the superintendent are as follows:

- Carry out policies and regulations established by the board. (In matters not specifically covered by board policies, the superintendent should take appropriate action and report the action to the board no later than the next meeting.)
- Prepare regulations and instruct school employees as necessary to make effective the policies of the board.
- Direct purchases and expenditures in accordance with the policies of the board.
- Formulate and administer a program of supervision for the schools.
- Develop a program of maintenance and improvement or expansion of buildings and site.

Educational Leader
The superintendent’s educational leadership role should be exercised not only with other professional educators within the district but also with regional, state, and national professional educators, organizations, and agencies. As the educational leader within the community, the superintendent will be called on to keep the public informed as to the activities, achievements, needs, and directions of the school system. The superintendent should also keep the members of the board informed of new trends in education and their implications for the local district. A leadership role must also be assumed among the staff members of the school district. Without the support and understanding of the employees, the goals and objectives set by the district cannot be achieved.
An ongoing reality in school administration, particularly in the superintendency, is the administrative team approach to central office and building-level management. In most districts, the administrative team is a group of administrators who oversee certain responsibilities of the superintendent of schools. Each administrator usually has the title of deputy, associate, or assistant superintendent. In most school districts, personnel having the title of director or coordinator are not members of the administrative team, but rather support personnel to the team.

Members of the administrative team are formally designated by appointment to the superintendent’s cabinet, which is a strategy-planning and decision-making body. The heads of human resources administration, instructional programs administration, and support services administration are typically included in the cabinet.

This formal organization of the superintendent’s cabinet is not meant to imply that the superintendent should confine the “team” effort only to the highest levels of school district administration. Rather, the establishment of a cabinet is an attempt to share the strategy-planning process with key administrators. The issues and problems facing school districts are so far-reaching today that the superintendent must have continual and effective counsel in making decisions.

Because school districts need to identify various echelons in the administrative organization, it is recommended that the title of director or coordinator be attached to administrative positions reporting to an assistant superintendent in charge of a particular function. Although not meant to be all inclusive, Figure 1.3 represents a possible central office organization that incorporates a line authority from superintendent to assistant superintendents (cabinet positions) to directors. The number of central office administrators shown suggests that this could be the organizational structure for a school district with a student population of approximately 25,000. Please note that the director of affirmative action and director of community relations report directly to the superintendent, which is a common practice.

**Human Resources Administration**

**Human Resources Function**

In every school district, people must be recruited, selected, placed, evaluated, and compensated, whether by a central human resources office or by various administrators within the school district.

The goals of the human resources function are basically the same in all school systems: to hire, retain, develop, and motivate personnel to achieve the objectives of the school district; to assist individual members of the staff to reach the highest possible levels of achievement; and to maximize the career development of personnel. These goals must be implemented through the following dimensions of the human resources function:

- **Human resources planning.** Establishing a master plan of long- and short-range human resources requirements is a vital part of the school district’s curricular and fiscal planning processes.
FIGURE 1.3 Possible Central Office Organization
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• **Recruitment.** Quality personnel, of course, are essential for the delivery of effective educational services to children, youth, and adults.

• **Selection.** The long- and short-range human resources requirements are implemented through selection techniques and processes.

• **Placement and induction.** Through appropriate planning, new personnel and the school district accommodate each other’s goals.

• **Staff development.** Development programs help personnel meet school district objectives, and also provide individuals with the opportunity for personal and professional growth.

• **Performance evaluation.** Processes and techniques for evaluation help the individual grow professionally and help the school district attain its objectives.

• **Compensation.** Establishing programs that compensate quality performance helps motivate personnel.

• **Collective negotiations.** The negotiating process gives personnel an opportunity to participate in matters that affect their professional and personal welfare.

Unfortunately, many school districts still see the human resources function only as the hiring of competent teachers. The eight dimensions of the human resources function discussed here are not discrete and isolated entities, but rather integral aspects of the same function. Each of the next eight chapters addresses one of these dimensions. Administrative processes, procedures, and techniques for accomplishing the human resources function are reviewed. Also, major issues that significantly influence the administration of human resources are addressed.

**Human Resources Administrators**

Many school districts have more recently seen the need to delegate a major share of the human resources function to a specialized central office unit. In this type of organization, an assistant superintendent for human resources (or director of human resources) administers the human resources function and aids the superintendent in solving personnel problems. The human resources administrator is usually a staff position that exists to service line administrators. Line positions include the assistant superintendents for secondary education and elementary education, administrators of certain support services, and building principals. These administrators have been granted authority to make decisions in the supervisory process as it relates to staff, faculty, and students.

The human resources function not only has an impact on the continual staffing of positions, which in turn directly affects the quality of educational programs, but it also has a significant effect on the budget. Approximately 80 percent of school district expenditures are for salaries and benefits. Inefficiency in the human resources function can potentially cost the taxpayer unnecessarily large sums of money.

Boards of education and administrators are seldom fully aware of the pervasive effect their personnel decisions have on the planning process. Every position within a school system generates a series of decisions as to the type of work to be performed, the qualities needed for its proper performance, and its economic value. A variety of actions is required for the proper recruiting, selecting, inducting, developing, and evaluating of personnel. Policies and procedures must also be established regarding academic freedom, tenure, health, grievances, leaves of absence, and retirement. In all but the very smallest districts, the movement of personnel into and out of a school district requires the attention of human resources specialists.
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The number of strikes by public school teachers has remained relatively constant since the early 2000s. Salaries, fringe benefits, and working conditions constitute the major issues that may lead to an impasse at the table and result in a strike. Education, however, is a relative newcomer to the negotiations process.

Collective negotiation is traditionally a human resources function and correctly belongs under the jurisdiction of the assistant superintendent for human resources. Because of the magnitude of the issues involved with this process, most school districts should consider establishing the position of director of employee relations. The American Association of School Administrators sponsored the publication of a monograph entitled *Helping Administrators Negotiate*, with the prophetic subtitle of A Profile of the Emerging Management Position of Director of Employee Relations in the Administrative Structure of a School System.

The knowledge explosion and the constantly changing social milieu have also produced a major issue in the area of human resources administration. In the past, staff development was viewed primarily from the in-service training model, which concentrated on providing a few workshops on instructional materials. The past quarter century, however, has ushered in federal legislation and litigation that have more clearly defined the rights of racial minorities, women, students, older workers, and people with disabilities. This, coupled with the deluge of new instructional technologies, the differing attitudes of the new professionals entering teaching, and the changing values of our society as manifested by parents and students, has created a need for an ongoing staff development program for administrators and teachers alike. This function is so specialized that, like collective negotiations, it requires the attention of a human resources specialist—the director of staff development.

The avalanche of federal legislation and litigation concerning human rights has made it necessary to establish a central office administrative position, usually entitled director of affirmative action. Most federal legislation contains an equal opportunity clause, which in turn dictates the organization of a detailed program for carrying out the intent of the law in all phases of the human resources function. This organized program is more commonly called affirmative action. Chapter 2 presents a complete explanation of major civil rights legislation and the concept of affirmative action. A unique feature of this administrative position in the organizational structure of a school district is the fact that the director of affirmative action usually reports directly to the superintendent of schools. This provides integrity in the school district’s compliance with civil rights legislation because the director is thus protected from the influences of other administrators.

The escalating cost of healthcare is an issue facing every school district that provides healthcare and related benefits to employees. Most school districts have undertaken drastic measures in an attempt to control costs, which has led to what is commonly referred to as managed care. Along with the many innovations under way is the need to hire human resources staff members who not only have experience but also have academic credentials in healthcare management. Further, the rising cost of workers’ compensation reinforces the need to hire human resources staff members who have experience with and understand the nuances of risk management. Most school districts use the title director of employee benefits to designate the staff member who is responsible for managing the employee benefits and workers’ compensation programs. The administrator, of course, reports to the assistant superintendent for human resources.

Contemporary society is fraught with risks to personal security and safety. This has been graphically embedded in the consciousness of all Americans because of the
enormous loss of life in schools over the past decade due to student violence perpetrated against other students, teachers, staff members, and administrators. People from outside the school community have also entered school buildings and committed violent acts against students and employees. In addition, there is the ever-present risk of injury to students and employees because of accidents stemming from school facilities and equipment. Finally, risk also arises from the potential breach of confidentiality in relation to student and employee records. Safety and security audits, rules, and procedures must be developed in order to ensure, as much as possible, a risk-free environment for both students and employees. This has prompted school districts to create the position of director of risk management.

The job description for the director of employee relations was modeled on the description in *Helping Administrators Negotiate* published by the American Association of School Administrators, which is out of print (see Exhibit 1.1).

### EXHIBIT 1.1 Six Major Human Resources Specialists

Personal abilities and characteristics are universal for all administrators. The superintendent, assistant superintendents, directors, and building principals must have good human relations skills; good writing skills; work well with details; and must be self-starters. The descriptions provided here should be seen as building on this foundation.

**Job Description for the Assistant Superintendent for Human Resources**

**Job Summary**

The assistant superintendent for human resources (or director of human resources) is responsible for managing the school district’s human resources program, including the establishment and maintenance of effective two-way communications between the various organizational levels, as well as the formulation, recommendation, and administration of the school district’s human resources policies.

**Organizational Relationships**

The assistant superintendent has a line relationship with and reports directly to the superintendent of schools. He or she serves as the superintendent’s chief advisor on human resources matters and has a staff relationship with other administrative personnel. The assistant superintendent for human resources has a line relationship with his or her immediate staff, which includes the director of employee relations, the director of staff development, the director of employee benefits, and the director of risk management. These administrators report directly to the assistant superintendent.

**Organizational Tasks**

The assistant superintendent for human resources is directly responsible for establishing administrative processes, procedures, and techniques for human resources planning, recruitment of staff, selection of personnel, the placement and induction of personnel, staff evaluation, and compensation programs. He or she is further responsible for supervising the director of employee relations, the director of staff development, the director of employee benefits, and the director of risk management.

**Job Qualifications**

In terms of education and experience, the assistant superintendent for human resources should possess the following:

- Appropriate state administrator certification
- A doctorate in educational administration
- Formal course work in the areas of curriculum, finance, school law, human resources administration, and collective negotiations
- Classroom teaching experience and five years as a building-level administrator
Organizational Dimensions

EXHIBIT 1.1

Job Description for the
Director of Employee Relations

Job Summary
The director of employee relations is responsible for the administration of the school district’s management–employee relations program. This includes establishing and maintaining effective two-way communications between the various organizational levels; formulating, recommending, and administering the school district’s management–employee relations policies, as well as administering the collective negotiations process.

Organizational Relationships
The director of employee relations has a line relationship with and reports directly to the assistant superintendent for human resources. He or she serves as the assistant superintendent’s chief advisor on employee relations. He or she has a staff relationship with other administrative personnel. The director of employee relations has a cooperative–professional relationship with non-administrative personnel with whom he or she negotiates. Of course, the director has a line relationship with his or her immediate staff, and they report directly to the director.

Organizational Tasks
In preparing for negotiations, the director of employee relations shall
• Develop negotiations strategies for management
• Prepare proposals and counterproposals for management
• Analyze and evaluate employee proposals and advise management accordingly
• Know state laws and court decisions relevant to professional negotiations
• Secure input from all administrative personnel prior to developing management’s proposals

In at-the-table negotiations, the director of employee relations shall
• Serve as the chief negotiator for the school district
• Direct the school district’s negotiations team
• Keep administrative personnel informed during negotiations
• Draft negotiated agreements reached with unions
• Maintain records of proposals and counterproposals presented by all parties during negotiations

In administering the negotiated agreement, the director of employee relations shall
• Serve as the school district’s chief advisor in the interpretation of adopted agreements
• Serve as the school district’s chief advisor in all grievance matters
• Consult with principals and other supervisors concerning their understanding of and compliance with the adopted agreements
• Initiate management’s grievances and mediation activities

Job Qualifications
In terms of education and experience, the director of employee relations should possess
• Appropriate state administrator certification
• Master’s degree (minimum)
• Formal course work in the areas of educational administration, with exposure to courses in curriculum, finance, school law, collective negotiations, and human resources administration
• Classroom teaching experience and at least two years as a building principal

Job Description for the
Director of Staff Development

Job Summary
The director of staff development is responsible for the management of the school district’s staff development program. This includes the establishment and maintenance of effective two-way communications between the various organizational levels, as well as the formulation, recommendation, and administration of the school district’s staff development policies.

Continued
EXHIBIT 1.1  Continued

Organizational Relationships

The director of staff development has a line relationship with and reports directly to the assistant superintendent for human resources. He or she serves as the assistant superintendent’s chief advisor on staff development matters. The director of staff development has a staff relationship with other administrative personnel and has a cooperative–professional relationship with non-administrative personnel with whom he or she works. The director has a line relationship with his or her immediate staff, and they report directly to him or her.

Organizational Tasks

In planning and implementing a staff development program, the director shall

• Establish and implement ongoing needs assessment techniques with all personnel
• Analyze and evaluate assessment instruments
• Secure input from administrative personnel concerning the most desirable time and place for program presentation
• Evaluate program presentations

Job Qualifications

In terms of education and experience, the director of staff development should possess

• Master’s degree (minimum)
• Formal course work in the areas of testing and measurement, statistics, curriculum, and supervision
• A minimum of two years professional experience as a teacher or building administrator

Organizational Relationships

The director of affirmative action has a line relationship with and reports directly to the superintendent of schools. He or she serves as the superintendent’s chief advisor on affirmative action matters. The director of affirmative action has a staff relationship with other administrative personnel, and has a cooperative–professional relationship with non-administrative personnel with whom he or she works. Of course, the director has a line relationship with his or her immediate staff, and they report directly to the director.

Organizational Tasks

The director of affirmative action is responsible for the following tasks:

• Studying affirmative action problems and suggesting solutions to the superintendent, if possible
• Using school district data in reviewing the qualifications of all employees, with particular emphasis on minorities, women, older workers, and people with disabilities as the data relate to fair employment practices
• Developing and updating goals and timetables for correcting identifiable deficiencies
• Advising the superintendent on recruitment of minorities, women, older workers, and people with disabilities for those classified, and positions in which they may be falling short of the district’s affirmative action goals
• Assuming the role of compliance officer and making all contacts with state and federal agencies
• Reviewing all job announcements, job descriptions, and selection criteria to ensure compliance with affirmative action requirements
• Briefing the superintendent on the nature, purpose, and intent of all laws, executive orders, policies, regulations, and reports of external agencies that affect the school district’s affirmative action program
• Helping district administrators investigate formal complaints of alleged discrimination
EXHIBIT 1.1

relating to fair employment practices, and recommending corrective measures to the superintendent
• Maintaining liaison with local, state, and federal agencies and with organizations concerned with promoting fair employment practices
• Representing the school district at meetings, conferences, and other gatherings pertaining to the affirmative action program
• Working with appropriate individuals and agencies in ascertaining correct population characteristic data for the district
• Compiling an annual report to the superintendent on the progress of the school district’s affirmative action program

Job Qualifications

In terms of education and experience, the director of affirmative action should possess
• A master’s degree (minimum)
• Formal course work in the areas of educational administration, with exposure to school law, collective negotiations, and human resources administration
• Classroom teaching experience, two years as a building principal, and two years as a central office administrator

Job Description for the Director of Employee Benefits

Job Summary

The director of employee benefits is responsible for the management of the school district’s benefits program, including the establishment and maintenance of effective two-way communication between the various organizational levels, as well as the formulation, recommendation, and administration of the school district’s employee benefits policies.

Organizational Relationships

The director of employee benefits has a line relationship with and reports directly to the assistant superintendent for human resources. He or she serves as the assistant superintendent’s chief advisor on employee benefits and has a staff relationship with other administrative personnel. The director of employee benefits has a cooperative–professional relationship with nonadministrative personnel with whom he or she works. Of course, the director has a line relationship with his or her immediate staff, and they report directly to him or her.

Organizational Tasks

In planning and implementing the employee benefits program, the director shall
• Establish and implement ongoing monitoring techniques to evaluate the cost effectiveness and efficient management of the benefits program
• Establish and chair the employee benefits committee, which is charged with reviewing employee benefits, making suggestions for improving benefits, making suggestions for containing costs, reviewing specifications for bidding benefits insurance, reviewing the analysis of bids, and annually making recommendations to the superintendent of schools
• Collaborate with personnel from the procurement department in developing specifications for bidding benefits insurance
• Develop, implement, and evaluate an annual survey of employee perceptions concerning the scope and effectiveness of the benefits program
• Serve as the liaison between the district and those companies providing healthcare and related insurance
• Develop informational materials and provide presentations to employees about the district’s benefits program

In planning and implementing the workers’ compensation program, the director shall
• Establish and implement ongoing monitoring techniques to evaluate the cost effectiveness and efficient management of the workers’ compensation program
• Collaborate with personnel from the procurement department in developing specifications for bidding workers’ compensation insurance
• Serve as the liaison between the district and the company providing workers’ compensation insurance

Continued
EXHIBIT 1.1  Continued

Job Qualifications
In terms of education and experience, the director of employee benefits should possess

- A bachelor’s degree (minimum)
- Formal course work in the areas of human resources administration, benefits management, risk management, insurance management, and workers’ compensation
- Three years’ experience in at least one of the following areas: human resources administration, benefits management, insurance management, or workers’ compensation management

Organizational Tasks
In planning and implementing the risk management program, the director shall

- Establish and chair the employee safety and security committee, which is charged with reviewing safety and security rules and procedures, making suggestions for improving safety and security rules and procedures, reviewing specifications for bidding risk management services and equipment, and reviewing the analysis of bids
- Develop, implement, and evaluate an annual safety and security audit
- Develop informational materials concerning safety and security on the job, and providing safety and security education and training to employees
- Develop an annual safety and security report for the assistant superintendent for human resources that contains recommendations for improving the school district’s safety and security program
- Investigate, assess, and manage safety and security crisis events

Job Qualifications
In terms of education and experience, the director of risk management should possess

- A bachelor’s degree (minimum)
- Formal course work in the areas of risk management, human resources administration, and workers’ compensation management
- Three years’ experience in at least one of the following areas: risk management, safety and security education and training, safety and security assessment, or workers’ compensation management

Leadership Theories for Human Resources Administration

Numerous leadership theories are currently in vogue. The most recent are the search for excellence, seven habits of highly effective people, learning organization, new science of leadership, school-based management, cultural leadership, transformational leadership, total quality management, and transcendental leadership. Only two of
these theories, transcendental leadership and total quality management, are presented here because they appear to be the most appropriate theories for human resources administration.

Transcendental Leadership

There are three major reasons why transcendental leadership is an appropriate theory for human resources administrators. First, human resources administration operates within a very complex, ambiguous, and stressful milieu. Second, like other educational administrators, human resources administrators are required to perform their responsibilities even though they may not have job security. Finally, boards of education continue to cross the line between governance and administration.

In addition, superintendents, principals, other administrators, and human resources administrators are often criticized or blamed for poor performance of students on standardized tests, substandard teacher performance, outdated curricula, student violence, and a lack of financial stewardship. Although some of these criticisms are legitimate in some schools and school districts, they do not accurately represent the general condition. In spite of such criticism and difficulties, a major influence in the lives of most administrators, including human resources administrators, is the search for meaning that goes beyond the paycheck and prestige that come from being a superintendent, principal, or human resources administrator. This search for meaning may be identified in a concise way as the transcendent dimension of leadership.

In this context, transcendence means a way of life dedicated to leadership within and on behalf of the academic community and profession, rather than simply finding an administrative position in order to make a living. Obviously, making a living is an important consideration for everyone. However, without a sense of transcendence, administrators may concentrate on performing tasks and neglect to reflect on their overall reasons for being educational leaders.

Accepting the transcendence of leadership requires a person to undertake a lifelong process of discerning how he or she can be of service to the academic community and profession while carrying out the tasks and responsibilities of his or her leadership position within a given school or school district. This sense of service is difficult to sustain unless a person has an agenda to follow. Operating from such a theoretical base ensures that a person will develop and maintain effective job performance. In this context, such an agenda consists of the elements in a transcendental model of leadership.

Because administrators in general—and human resources administrators in particular—are concerned with human growth and development, they are generally more open to the cultural differences that exist between people and institutions. The basic premise of transcendental leadership is that a person acts from the totality of who he or she is as a human. Most administrators are generally aware that their decisions are influenced by more than just the immediately recognizable circumstances, and that the effects of their decisions can go beyond the present situation.

Transcendental leadership has two components: First, there are six elements that pertain to dispositions that individual human resources administrators should possess in order to be centered on human growth and development. Second, there are ten focuses that establish a transcendental culture in a school district. Such a culture is organizationally supportive of human growth and development.
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Elements of Transcendental Leadership

Operationalization is a process that includes various elements activated to guarantee that a theory is practiced properly. Many different theories have similar elements, but it is the combination of elements and the disposition of the person using the theory that make it effective. There are six elements that comprise transcendental leadership theory, and these can be applied specifically to human resources administrators.

1. Utilize reflection on practice. The first element takes into account the importance of practice as the phenomenon on which theory and foundational values are based. Everything begins with practice. Knowing and understanding what is occurring in human resources administration practice is the only way to evaluate effective leadership. Leadership cannot be a top-down phenomenon, but rather must begin with the processes and practices of human resources administration. This includes knowing and understanding the attitudes, emotions, and opinions of all stakeholders.

2. Practice the principle of subsidiarity. This element has a unique history in that it originated in social ethics and social economics. The principle of subsidiarity states that decisions should be made at the lowest possible level in a given school district. There is no question about the relevance of allowing administrators to do their jobs without interference but with monitoring from others. There is also no question about the firsthand knowledge and experience that administrators have, which make them eminently more qualified than others to handle specific issues and problems. Thus, the performance evaluation process must be implemented by first-line supervisors, with support from the human resources department. The human resources function cannot be operationalized without input and assistance from other members of the school district community, as discussed in subsequent chapters.

3. Act from a political base. The third element refers to the human phenomenon whereby people try to manage the impact that their actions and decisions will have on the actions and decisions of others and on institutions. In human resources administration, the conceptualization of what constitutes a political base can be understood in a primary tension, the rights of government versus the rights of the individual. The role and function of administrators is to ensure that the rights of individual students, parents, teachers, staff members, and others are not in conflict with the rights of the local, state, and national governments. For example, a certain amount of tension exists between the right of the U.S. Congress to pass the Omnibus Transportation Employee Testing Act of 1991 and the right of employees to due process in the workplace.

4. Act from a sense of duty and responsibility. It is not easy to know one’s duty and responsibility. For human resources administrators, these obligations can be difficult and, at times, ambiguous. In the most sweeping context, people have responsibilities to themselves and their families, friends, neighbors, and colleagues, in addition to their employing school district, community, state, and nation. Human resources administrators also have a duty and responsibility to their profession. The issue is how to balance all these various duties and responsibilities. At times, these duties and responsibilities come into conflict with each other. Reflection and common sense are the primary tools that help administrators find the necessary balance.

5. Advocate for social justice. Pluralism can produce conflict and conflict can lead to injustice. Thus, some basic notions about justice need to be known and understood.
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Justice is the guide that regulates how people live their lives as members of a community. In contemporary society, everyone is a member, even if he or she tries to live otherwise. Computer and satellite technology make it possible to locate virtually every person on the planet. A person cannot hide and neglect his or her obligations to society. The choice either to live in society or to retreat from it by living a solitary life no longer exists. The very fact of being brings with it social obligations and the need for effective human relations. Justice is one of the most important aspects of human resources administration because the actions of an administrator can have both an immediate and a long-term effect on people and on that administrator’s school district. Unfairness in administering human resources policies and procedures can be masked through the details of management. Thus, a just and fair human resources administrator is critical to social justice.

6. **Formulate professional positions through discourse.** Reasoning is the basis of all discourse in that participants must agree to this rationality if it is to be effective. Participants should be free from external and internal coercion other than the force of the best argument, which supports the cooperative search for truth. Because of the limitations of time and space, it is necessary to institutionalize discourse; the topics to be discussed and the contributions of participants must be organized in terms of opening, adjournment, and resumption of discussion. Discourse can be effective only if it is applied to questions that can be dealt with through impartial judgment. This implies that the process leads to an answer that is equally beneficial to all stakeholders. This means that discourse seeks not to reach consensus, but rather to generate convictions in the participants. Further, the degree to which a society, its institutions, its political culture, its traditions, and its everyday practices permit a noncoercive and nonauthoritarian form of discourse is a hallmark of rationality. Thus, human resources administrators cannot expect to find the best solution to problems or formulate the best policies and procedures if they carry out these tasks without discourse with those who have a stake in the problem or those who will be affected by the policies or procedures.

**Focuses That Support Transcendental Culture**
The following ten focuses are critical to establishing a transcendental culture in a school district.

1. **Identity focus.** The degree to which administrators, teachers, and staff members identify with the school district as a whole rather than with their job or profession. If individuals identify closely with the school district, then a positive culture operates within that district.

2. **Collaboration focus.** The degree to which administrators, teachers, and staff members organize their work activities around groups rather than individuals. If administrators, teachers, and staff members collaborate in developing the dimensions of the human resources function, rather than relying on a single administrator such as the superintendent, to organize this responsibility, such a school district exemplifies this focus. The obvious advantage of fostering group emphasis is the empowerment experienced by individuals when the human resources function is no longer dependent only on one person who might retire or accept a position in another school district at some time in the future. In like manner, continuity is established even though the superintendent might leave the school district.
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3. **Concern for people focus.** The degree to which administrators, teachers, and staff members consider the effects of their decisions on people. Of course, this applies not only to decisions affecting staff but also to decisions affecting students, parents, and members of the community. A high degree of concern is a hallmark of the humanity of the decision makers.

4. **Coordination focus.** The degree to which divisions in the school district are encouraged to operate in a coordinated or interdependent manner. A high degree of coordination and interdependence supports and strengthens the goal attainment of a school district.

5. **Empowerment focus.** The degree to which rules, regulations, and direct supervision are used to control the behavior of administrators, teachers, and staff members. Less control and increased levels of trust and empowerment lead to greater commitment and success.

6. **Risk-supportive focus.** The degree to which administrators, teachers, and staff members are encouraged to be aggressive, innovative, and risk seeking. A high degree of encouragement could lead to higher job satisfaction, an uplifted morale, and cutting-edge programming.

7. **Performance focus.** The degree to which rewards and promotions are allocated according to an administrator’s, teacher’s, or staff member’s performance rather than seniority, favoritism, or other nonperformance factors.

8. **Criticism-tolerance focus.** The degree to which administrators, teachers, and staff members are encouraged to express their criticisms openly. The educational leaders of some school districts mistakenly believe that they can squelch criticism. Heavy-handed techniques used against employees who criticize publicly will result in deep-seated resentment and, in many cases, outright revolt. The mark of an effective school district is an atmosphere of openness within which everyone, including students, is heard without reprisal. This kind of openness sends a signal to all members of the school community that people and their opinions and criticisms are valued and can make a difference in how the school district is administered.

9. **Process focus.** The degree to which administrators, teachers, and staff members focus on the strategies and processes used to achieve outcomes. Particularly in human resources administration, outcomes are not a good measure of progress or success. There are too many variables to control when dealing with people to measure outcomes accurately. Thus, a school district with a positive culture will be constantly engaged in developing, implementing, evaluating, and modifying strategies and processes.

10. **Change focus.** The degree to which a school district monitors and responds to changes in the external environment. Technology, corporate downsizing, shifts in population, violence, health issues, and other phenomena that constantly bombard institutions require a response from administrators, teachers, and staff members in relation to what needs to change in their school district cultures.

**Total Quality Management**

In post–World War II Japan, an American named W. Edwards Deming introduced the theory and application of total quality management (TQM) to the Japanese, with outstanding results. Today, Japan occupies a prominent position among the leading
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industrial/business nations. It is true that the economy in Japan now suffers from the same pitfalls that plague the economies of the United States and the other industrial/business nations, but this country’s rapid rise from devastation is worthy of note and study. Deming’s approach was the catalyst for this success.

During the late 1970s, the quality management concept of quality circles was introduced in private business and industry. This concept called for groups of employees to meet and discuss how improvements could be made within their areas of responsibility. Supervisors and managers were unprepared for this innovation in most companies, and the technique quickly vanished. However, the TQM approach found support in business and industry during the 1980s and is still gaining momentum.

In education, the TQM approach is just beginning to take hold in some school districts and is certain to continue. This phenomenon is appearing not only in the management aspect of school districts but also in the instructional sphere.

This section discusses how Deming’s fourteen principles can be applied to the management of human resources. These principles were elucidated in Deming’s 1986 book, *Out of the Crisis.*

1. Create constancy of purpose toward improvement of product and service. Too often, human resources administrators are so entangled in the problems of daily operations that they lose sight of the overall vision that should drive the human resources function.

2. Adopt the new philosophy. The new philosophy is a belief that all staff members can and should contribute not only to the development of a strategic plan but also to the implementation of the plan. The assistant superintendent for human resources, along with the directors of employee relations, staff development, and affirmative action, should assume the leadership in developing the processes, procedures, and techniques for implementing the eight dimensions of the human resources function; however, interviewers, direct compensation specialists, and administrative assistants, along with all other staff members, should also be intricately involved in this development.

3. Cease dependence on inspection to achieve quality. Employees must perceive that they are valued members of the school district community and, in particular, that they are appreciated as providers of service to that dimension of the human resources function for which they are responsible.

4. End the practice of awarding business on the basis of price tag. The application of this principle for school district employees is better understood in relation to compensation. Public recognition of and compensation for outstanding performance are good ways to demonstrate that employees are valued and that their contributions to the human resources function are appreciated.

5. Improve constantly and forever the system of production and service in order to improve quality and productivity. Improvement must be built into the design of the processes, procedures, and techniques used in the human resources function. Thus, evaluation must be a component in every dimension of human resources management.

6. Institute training on the job. With the advances in technology and the research that is being conducted in the behavioral sciences, an employee can never state that he or she knows all there is to know about human resources management in general or about his or her area of responsibility in particular.
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7. Institute leadership. This principle applies not only to the assistant superintendent for human resources and the other human resources administrators but also to staff members who have human resources responsibilities.

8. Drive out fear. Quality performance occurs when staff members take a stand about ideas that they believe enhance the human resources function. Security allows staff members to make mistakes that in turn become learning experiences, helping employees acquire new insight and more effective skills.

9. Break down barriers between departments. Collaboration between administrators and other staff members produces a higher quality of service.

10. Eliminate slogans, exhortations, and targets. The human resources function should be driven by goals rather than slogans, exhortations, and job targets.

11. Eliminate management by numerical quotas. There is nothing more dehumanizing to staff members than reducing their performance to statistics.

12. Remove barriers that prevent job managers and workers from taking pride in their workmanship. Generally speaking, everyone wants to do a good job. Human resources administrators should strive to remove obstacles that prevent other human resources staff members from achieving quality performance.

13. Institute a vigorous program of education and self-improvement. The human resources function is in danger of becoming mediocre if staff members are not given the opportunity to develop their skills, learn new skills, and receive updated information.

14. Motivate everyone in the company to work toward the transformation. The type of change described herein requires not only the commitment of the assistant superintendent for human resources but also the commitment of every human resources staff member. All levels within the organization must support this change because top-level human resources administrators cannot effect it by themselves.

Application of Technology in Human Resources Administration

The impact of technology on the daily lives of people cannot be overestimated. It is a phenomenon that has changed the way people think and act, not only in their homes but also in their workplaces. Virtually every school district in the United States is dealing with the use of technology in relation to the instructional program and in central office administration.

When applied to the school district human resources function, technology has many benefits, including the following:

• Cost effectiveness. Fewer people are required to perform certain human resources responsibilities.
• Efficiency. Processes and procedures can be computerized.
• Engagement. Employees themselves can access services more quickly.
• Job enhancement. Human resources department staff members can concentrate on planning and development rather than on routine tasks.
• Assessment. Information available in databases can be organized into management reports quickly and easily.
Computer technology has progressed through three phases that began in the 1950s and 1960s with large mainframe computers. With accelerated momentum, minicomputers and personal computers were developed and interconnected through privately owned networks. The period from the 1990s to the present has experienced the emergence of the Internet and the World Wide Web (Web). Excitingly, the future will most likely see the merging of information databases with communication that uses nanotechnology, biotechnology, and genomics. Thus, it is imperative for educational administrators to continue their study and dialogue about the potential of technology for the human resources function. In fact, being proactive in envisioning both the benefits and the cautions of emerging technology should constitute a segment of every educational administrator’s responsibility. It would be a professional failing for human resources administrators to neglect becoming the designers of the future when that is exactly what we are meant to do as educators.

Routine Human Resources Procedures

Initial Entry and Change of Personnel Information
Most school district employees would like to have more control over routine human resources procedures, something accomplished easily through technology. Human resources departments have enhanced the level of service to employees by eliminating paper-intensive work through technology, which also tends to reduce errors. Self-service workflow technology also gives employees access to their ongoing status and allows them to verify and/or update their status and benefits. Employees can thus have easy and reliable access to pay stub information: gross pay, deductions, year-to-date accumulations, and tax withholding data.

One of the easiest services to upgrade by using technology in school districts is benefits enrollment. Medical, dental, and life insurance plan enrollment can be accomplished through an interactive voice response telephone system. This technology uses a text-to-speech approach, whereby the system voices the caller’s current status and then prompts him or her to make a selection from a series of options. This type of self-service application is commonly referred to as a kiosk system, which is a stand-alone center that prompts users when data are entered. There are basically two types of kiosks: those that require the typing of keywords and those that use touchscreen technology.

This can also be accomplished through the Internet or through an intranet system, which is the application of Web technology to the administrative computer network of a school district. Of course, changes in status can also be accomplished through this same technology. Common applications of self-service technology include a change of primary care physician, the listing of a new dependent, and a change of beneficiary.

Interactive voice response and Internet technology also provide convenient ways for retirees who continue to participate in district programs to make changes in their status without visiting the school district’s central office or without sending in paperwork that is susceptible to keying error.

In using these technologies, an employee of a school district can initiate a change in his or her home address, notify the human resources department about a newly earned degree, or initiate a change in marital status. In an automated workflow system,
these types of changes can be programmed to activate other processes. Thus, a change in marital status might activate a request for additional information concerning a name change or beneficiary election. Another example of this type of event-based processing is as follows: When a new teacher is hired and his or her human resources data file is created, event-based processing triggers the system to create a payroll file and enroll him or her in all standard employee benefits programs. The system then sends a message to the staff development department, which in turn enrolls the new employee in the school district’s orientation program. In the case of a newly hired administrator, the system also sends a message to the information systems department to set up a system security identification number. The workflow capabilities of technology are limited only by the imagination and design of human resources administrators.

The potential of workflow systems are particularly promising in relation to carrying out teacher and staff member performance evaluations online. A workflow analytical system could activate a series of considerations that a supervisor should keep in mind, given the evaluation of an employee. For example, if an elementary school teacher is having difficulty teaching a newly adopted mathematics curriculum, a prompt might suggest a series of actions that the principal could consider, including asking the teacher to enroll in a workshop on the new mathematics curriculum being conducted by the publisher of the mathematics materials. The prompt could even include the time and date that the professional development department of the school district has scheduled the workshop. Further, it is possible to design the performance evaluation online system in order to analyze the pattern that emerges in how the principal has evaluated the teachers in his or her school.

Of course, it is possible to incorporate security features into self-service programs. For example, an employee can be required to use a personal email address with a password to transact business, and Internet security features can be used to establish a secure connection to the Website and to encrypt the information that employees enters. Carrying out most, if not all, human resources activities online through an interactive voice response system, the Internet, or an intranet saves valuable time for human resources personnel.

**Task Performance**

As stated previously, the most important way to save time and energy is to perform most human resources activities through an interactive voice response system, the Internet, or an intranet. It is important for all employees to understand that an email address and a password constitute the same authority and responsibility as a signature. Thus, the safeguarding of passwords is a serious professional responsibility.

Performance evaluation is another example of how the Internet or an intranet can be used to save time and energy and to reduce paperwork. Filling out a form online and storing it in the school district’s database is much more efficient than completing a form and keeping it in a file cabinet. Depending on the level of security, the performance evaluation information can be more confidential and secure in the school district’s database. It is just as effective, possibly more efficient, and ultimately more cost effective to download the performance evaluation to a disk that can be given to the
employee and used as an ongoing record of his or her performance. The principal or department supervisor and the employee can sign the identification sticker placed on the disk as an indication that the contents have been explained to the employee. An employee response can be recorded on the disk, downloaded, and a copy given to the principal, who in turn can follow the ordinary procedure of response and appeal. The difference is that the district’s database and a disk become the record, rather than traditional paper forms.

Posting Job Opportunities
Interactive voice response, the Internet, and an intranet are excellent avenues for providing both employees and other people interested in working for the school district with information about available positions. These types of postings can provide the school district with more effective linkage to the best qualified people. Further, these technologies not only provide easily accessed information about job requirements and timely notification of job vacancies but also can become the avenues for potential employees to apply for positions.

The use of these technologies can enhance the affirmative action efforts of a given school district by reaching people who do not live in the school district community or who do not have access to the daily newspapers where job vacancies are posted. This helps recruit people with disabilities, minorities, older workers, and women.

Online Recruitment and Selection
A computerized application process allows principals and department administrators to enter the competencies for a vacant position. The system then searches the database for a match between the competencies and available applicants’ skills. Creating the applicant pool can take place through the Internet. For example, a person interested in working for a certain school district could consult the Webpage for that school district, which in turn could direct the person to an online application.

Once a resume is mailed by a potential candidate to a school district, it can be entered into a database and reformatted so that it is available to principals and department directors. Background screening results can be entered online along with other candidate information, providing an ongoing status check for principals and department directors seeking to fill vacancies. Initial screening of qualifications for a position can be handled through a front-end interactive voice response system that sets forth qualifications for vacant positions.

After the board of education votes to hire a candidate, a human resources data file can be created to prompt the delivery of a job description that includes expected competencies and performance criteria on which the newly hired person’s performance will be evaluated.

Online Staff Development and Training Programs
Staff development and training programs can be produced and provided to employees through videos and online technology. Further, such programs can be interactive; an employee can be led through a series of exercises with immediate feedback concerning his or her mastery of the information or skill. Although this does not replace other
methods of delivering staff development and training programs, most are suited to this approach.\textsuperscript{13}

**Relational Database Reporting**

Human resources staff members once had to expend an enormous number of work hours reformatting data into usable information for the superintendent of schools, assistant superintendents, department heads, and principals. Software is now available that can produce reports immediately from data that have been entered into a database. For example, superintendents and other administrators can now view on-screen data in graphical formats that show turnover statistics in special education. They can also click and drag fields of information into reports or use software to create reports. In addition, reports can be extracted into word-processing documents and spreadsheets. With the advent of email in most school districts, reports can be transferred easily to the offices of numerous administrators. Exhibit 1.2 is an example of a monthly summary report that sets forth the status of those making claims as members of a self-insured school district medical insurance program. When employees, their dependent children, their spouses, or their physicians send in a claim for medical services, the claim is entered into a database from which summary reports can be generated. In an actual report, the designation of employee, spouse, or dependent would be accompanied by the employee’s social security number or the name of the person who made the claim.\textsuperscript{14}

With the new technologies, human resources administrators and staff members can assume the role of internal consultants who are engaged in critical planning in order to meet the goals and objectives of a given school district. They can now be more involved in solving problems and addressing human resources issues.

<table>
<thead>
<tr>
<th>EXHIBIT 1.2 Medical Claims Report</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Claimant</strong></td>
</tr>
<tr>
<td>---------------------------------------------------------------</td>
</tr>
<tr>
<td>1. Dependent</td>
</tr>
<tr>
<td>2. Employee</td>
</tr>
<tr>
<td>3. Spouse</td>
</tr>
<tr>
<td>4. Employee</td>
</tr>
<tr>
<td>5. Employee</td>
</tr>
<tr>
<td>6. Dependent</td>
</tr>
<tr>
<td>7. Dependent</td>
</tr>
<tr>
<td>8. Spouse</td>
</tr>
<tr>
<td>9. Employee</td>
</tr>
<tr>
<td>10. Employee</td>
</tr>
<tr>
<td>11. Dependent</td>
</tr>
</tbody>
</table>
Human Resources Administration Computer Hardware and Software

Hardware and Software Selection Process
Technology accelerates processes and procedures, but it does not necessarily correct problems within a dysfunctional human resources department. Thus, the following four steps will help human resources administrators appropriately select computer hardware and software.

1. Analyze the human resources needs of the school district. If possible, this should be accomplished through a district-wide strategic-planning process that develops a vision for the entire school district and establishes goals and objectives for each division and department of the district. The human resources function is a vital part of the operation of the entire school district, and significant changes and enhancements to the processes and procedures of the human resources department must be made in consort with the district’s overall strategic plan.

   In addition to establishing goals and objectives for the human resources department, conducting an audit of the school district’s existing technology is extremely important in determining what hardware and software are being used in the payroll department, the information management department, the school principals’ offices, and all other departments because, if possible, new hardware and software should interface with existing hardware and software. This is especially important because principals and department directors use their computer terminals to access human resources information and reports.

   Surveying principals and department directors to ascertain their human resources needs and ideas not only helps in selecting the most appropriate hardware and software but also gives human resources administrators important feedback concerning issues and problems that may be present in human resources processes and procedures. Future needs could also be identified that will be important in purchasing hardware and software that will meet the school’s needs for more than just a few years.

   The growth or decline in the school district’s enrollment is a key factor because this determines the number of teachers’ and staff members’ records to be processed by the human resources department. The larger the school district, the greater the need for technology in order to contain costs and maintain effectiveness and efficiency.

2. Research the types of hardware and software that are available from vendors. Of course, the first place to search for hardware and software is in computer trade publications, which have extensive advertising. A complementary task in the identification of appropriate hardware and software is asking colleagues in other school districts about the advantages and disadvantages of the products that they are using.

3. Establish a budget for the purchase of hardware and software, and initiate the bidding process. The needs assessment and research into available products help in the establishment of a budget. The cost of new technology can be prohibitive, and thus, it is judicious to establish a firm cost limit for the purchase of hardware and software. At this point, it is important to consider hidden costs that might be related to supporting the installation and maintenance of the products.

   The development of specifications for taking bids might require the expertise of a computer consultant if a school district does not have staff members with this type
of experience. The specifications must clearly set forth the needs of the school district in such a way that bidders will be able to develop a complete hardware and software package. However, some vendors might be able to submit a bid for the hardware but not for the software, or vice versa. Thus, separating the bid package into these two categories is desirable. After advertising, receiving bids, and eliminating bids that exceed the budget, the human resources department administrators and staff members should begin their analysis. There are ten areas to consider in the analysis phase of the bidding process:

a. Capability of the hardware and software to be integrated with existing systems  
b. Degree of difficulty in entering data  
c. Degree of difficulty in learning the new equipment and software  
d. Scope of program functions that can be carried out  
e. Type and depth of reporting possibilities  
f. Expandability and upgrading capability of the programs  
g. Time line for the conversion process  
h. Level and scope of technical support that the vendor will provide in the conversion process and beyond  
i. Performance of the demonstration hardware and software  
j. Quality of the references given by staff members from other school districts where the products are being used

The level and scope of technical support are most critical because it is possible to purchase excellent hardware and software that cannot be used to its full potential due to inadequate technical support. It is desirable to have onsite support for extensive conversions, whereby staff members can be trained in small groups and coached at their workstations. The establishment of a high-quality working relationship between a school district’s staff and the technical support people is critical to the conversion process. The potential for such a relationship can be explored by interviewing the bidding companies and by checking their references carefully.

Of course, it is typical practice to receive demonstration hardware and software from various vendors. Human resources staff can test the products for factors that could impinge upon the decision-making process. The testing should not be rushed but rather extended over a significant period to give staff members the time needed to make an accurate appraisal of the products’ performance.

4. Make a decision based on a cost-to-benefit ranking. This ranking is established by identifying the lowest-priced hardware and software that meet the human resources department’s present and future requirements. In a multiproduct bidding situation, each product can be evaluated using a rating scale, and then the overall package of each vendor can be compared to identify the strengths and weaknesses. A rating may be assigned by each member of the bid evaluation committee, which should be composed of administrators and staff members from the human resources department and include principals and other administrators if they will be using a given type of hardware or software. A weight assigned to the ten areas considered in the analysis phase is then matched to the cost of the products. Table 1.1 provides an example of a weighted evaluation form.
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**TABLE 1.1 Analysis Rating**

*On a scale of 1 to 5, with 5 being the highest rating, rate each vendor’s product against the following criteria:*

- Integration with Existing Systems
- Degree of Difficulty in Entering Data
- Scope of Program Functions
- Type and Depth of Reporting
- Expandability and Upgrading Capability of the Programs
- Time line for the Conversion Process
- Level and Scope of Technical Support
- Performance of the Demonstration Product
- Quality of References
- **Total Rating (50 is the highest possible rating)**

**TABLE 1.2 Bid Comparisons**

<table>
<thead>
<tr>
<th>Vendor</th>
<th>Rating</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vendor One</td>
<td>41</td>
<td>$132,000</td>
</tr>
<tr>
<td>Vendor Two</td>
<td>23</td>
<td>$105,000</td>
</tr>
<tr>
<td>Vendor Three</td>
<td>32</td>
<td>$86,000</td>
</tr>
</tbody>
</table>

For example, if three companies are bidding on a payroll program that has an upgraded employee position control component and the evaluation rating system cited here is used, the bid comparisons may look like those set forth in Table 1.2. In this situation, Vendor One has the highest rating but the highest cost, Vendor Two has the lowest rating and the second highest cost, and Vendor Three has the second highest rating and the lowest cost. The decision should be between Vendor One and Vendor Three. According to the cost-to-benefit rating approach, if the bids come in at or below budget, Vendor One should be awarded the contract.

**Categories of Software Applications**
The amount of software available to human resources departments in school districts increases constantly, especially because the human resources function can be easily adapted to technology. More important, the effective use of technology can free up significant financial resources that can then be allocated to the instructional program. The following nine areas within human resources administration were identified through a review of the “Supplement” section found in every issue of the journal *Workforce* during 2008, and software is available for each application:

1. **Attendance systems.** For support positions such as bus driver, cafeteria worker, and custodian, these systems use software for telephones, magnetic strip cards, and personal
computers to record the number of hours worked by employees, which can be generated and sent to the payroll department electronically.

2. Compensation planning systems. These systems provide a structured, data-based approach to planning teacher and staff member salary and benefits programs. They can provide the kind of analysis that enhances the collective negotiations process, especially because a planning system makes it possible to identify compensation trends in large school districts.

3. Competency management systems. Superintendents and human resources administrators can use these systems to identify teacher and staff member educational levels, certifications, and special skills. Based on the human resources needs of the school district, such software also can help human resources staff members identify staff development needs.

4. Decision support systems. When an administrator needs or wants to generate data summaries and reports, these systems provide the analytical capability to reframe information in such a way that decision making becomes more data driven.

5. Human resources management systems. These systems constitute the central storage for maintaining records and processing transactions—such as workflow—that can be initiated through self-service events.

6. Payroll management systems. These systems manage the entire payroll process, including salary/benefits requirements and governmental regulations such as tax deductions.

7. Recruitment and selection management systems. Using these systems, the superintendent of schools, principals, other administrators, and human resources staff members can search databases to find applicants who have specific education, certifications, and skills. These systems also allow administrators to monitor the status of applicants and even to mine the Internet for potential job applicants.

8. Retirement management systems. Using the Internet, intranet, or interactive voice response software, retirees can transact business with the human resources department and can receive information or have their questions answered.

9. Staff development management systems. These systems retain information about the specific staff development programs and activities that employees attend, and also identify the special skills acquired by the teachers and staff members who attended them. Further, software is available that allows individuals to access learning and training through personal computers and distance learning, which is important in providing staff development in schools so that teachers and staff members do not need to travel to a central office. Also, employees have access to expert knowledge that would not be available to large groups of teachers and staff members on a given occasion. Providing staff development via the Internet and intranet allows people to acquire new knowledge and learn new skills independent of time and location.

Ethics Issues

There are many approaches to the study of ethics that ultimately try to deal with human self-determination and all the issues in our society that militate against human freedom. Because this treatment deals specifically with human resources administration, the approach used here is focused on professional ethics, which is initiated through best practice in developing policies and establishing procedures that protect the self-determination
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of the employees of a school district, while ensuring the quality of educational services to students. It is a balance between the rights and responsibilities of teachers, administrators, and staff members and the rights and responsibilities of children, parents, and the local, state, and national communities.

*Best practice ethics* attempt to analyze the obligations that educational administrators have in relation to the human resources function. In small- to medium-size school districts, the superintendent of schools, an assistant superintendent, or a building principal may have some or all of the responsibility for the human resources function. In virtually every school district, all administrators, from time to time, have some human resources responsibility, even if it is just involvement in the interviewing process for new teachers. Consequently, cyberethics is an essential dimension of every administrator’s professional responsibility.

*Cyberethics* focuses on those functions of human resources administration that are operationalized through the use of technology. The larger societal issues, such as the effect that technology has had on human communication, are not within the scope of professional cyberethics. Those charged with the human resources function in schools and school districts have a vested interest in the manner in which other human resources professionals are dealing with cyberethics issues. There is a *community of interest* that should be viewed as a responsibility of the professions of human resources administration. Conventions and conferences for human resources professionals in education should address the commonly experienced cyberethics concerns and issues. In this context, issues are analyzed through a form of professional ethics referred to here as *best practice ethics*, which incorporates the notion that best practice evolves and develops as a consequence of the culture within which a school or school district is located. Colleagues, parents, students, board members, state and national elected officials, and government agencies contribute to the idea that there is a best practice in human resources administration.

However, detecting what constitutes a community of interest is open to continual discussion. For example, the Missouri Legislature passed a state law against harassment. The event that precipitated the action was the suicide of thirteen-year-old Megan Meier, who took her life in October 2006, after receiving mean-spirited messages over the Internet. Those who sent the messages were another young girl, a parent of that girl, and an employee of the parent.

The Missouri state law previously required the abusive communication to be in writing or over the telephone. The change in the law included acts of harassment through social media. The amendment also obligated school officials to notify police about harassment and credible threats against the victim, his or her family, his or her household members, and his or her animals.

In this case, there was carryover into human resources administration in the area of education. Every school district must develop policies that comply with the provisions of such state laws, and that set forth how the laws will be implemented in the school district. Further, the superintendent of schools and other central office and building-level administrators must develop those implementation plans, which should include procedures.

Certainly, those administrators responsible for the staff development function must create programs that help teachers and administrators recognize when a student might be experiencing harassment over the Internet. Further, teachers, administrators, and staff members can easily become victims of technological harassment. Finally, teachers, administrators, and staff
members can also be perpetrators of such harassment. Procedures must be developed for the notification of law enforcement authorities when harassment is identified.

This one issue can have an effect not only on policy development and staff development but also on the selection process and the manner in which background checks are carried out. The performance evaluation process is also affected, especially in the area of progressive discipline, which requires a clear definition of what constitutes technological harassment.

Neutral Nature of Technology
Can a technological device have unethical design features that would make it detrimental to certain people? The answer to this question begs the answer that it is humans who are capable of using technology for good or bad purposes; the technology itself is only an instrument. Certainly, there are examples in many other areas that are faced with this same question. The incident that resulted in the passage of an amendment to a Missouri law on harassment speaks to this point in the sense that the Internet was used in such a manner that it had a detrimental effect on a student. The Internet itself was not the problem.

The use of closed-circuit video surveillance cameras in school corridors to deter students from engaging in inappropriate behavior and to protect them from unlawful intruders has caused some concern on the part of teachers and staff members who believe that it is a violation of privacy. Also, others have concerns about how surveillance cameras could be used by principals in the teacher and employee performance evaluation process.

Designing technological devices to carry out functions that they would not otherwise be capable of performing has an impact on the issue of technology neutrality. For example, a school district may have employee social security numbers in a database that is easily accessed by other employees. Those employees could download the data through data-mining techniques and subsequently use them to steal the identity of others for financial gain. Thus, design is of concern even if it is viewed as neutral in terms of cybere-thics issues.

Of course, the same is true with all administrative design functions. The creation of a fictitious employee, allowed by a lack of checks and balances in the employee selection process and the payroll function, is a design issue commonly referred to as an internal auditing failure. This process is then monitored by designated central office staff in order to avoid fraud and should also be audited by an external auditing firm.

A related but major component of the neutrality issue deals with the apparent and unapparent potential uses of technology. Many school district personnel are unaware of the potential uses of the technology they purchase, such as the networking of computers. Search engines and data mining are two of the features that can be accessed through program design once data are entered into the system network. This raises issues of accessibility and how employees are granted accessibility. Do certain employees have a need to know those data?15

Unfortunately, it is painfully obvious that security issues dominate the technological revolution, particularly in relation to both the Internet and the intranet.16 Email is the primary indicator that communications are neither completely private nor completely secure. Because human resources administrators use technology to implement the various
dimensions of the human resources function, it is critical to understand not only the benefits but also the liabilities of this technology.

Social Media
First and foremost, there have been attempts by the U.S. Congress to prohibit certain uses of the Internet, including the Communications Decency Act of 1996 and the Child Online Protection Act of 1998. These laws have been reviewed by the federal court system, and their implementation is problematic at this time. The same situation is true for the Children’s Internet Protection Act of 2000, except that a provision of the law mandates school districts receiving federal funds for Internet access to develop and implement a formal Internet safety policy. The implication for human resources administration is that there should be a policy that restricts the use of school district–owned equipment and access to the Internet for school business purposes only.

Hostile Work Environment
Title VII of the Civil Rights Act of 1964 prohibits verbal and written conduct that produces an intimidating, hostile, or offensive work environment. Further, the U.S. Supreme Court decision in Burlington Industries v. Ellerth (1998) clearly holds supervisors legally responsible in Title VII cases for not preventing a hostile work environment. Technology and the Internet have significantly changed the work environment so that new methods of harassment might be used by employees. Thus, abusive emails and Internet content is certainly a violation of Title VII. It is the responsibility of human resources administrators to develop and implement policies and reporting procedures that help other administrators monitor the teaching environment so it is free from harassment.

Employee Privacy
The U.S. Supreme Court, in O’Connor v. Ortega (1987), upheld the standards set forth in New Jersey v. T.L.O. (1984) concerning justified and reasonable search. In the former case, the Court held that employees have a constitutionally protected right to privacy in the workplace. However, electronic communications of public employees are considered to be discoverable in court under public records laws. The usual practice is that emails are considered private unless subpoenaed by a court.

There are many other areas giving rise to legal and security concerns in relation to the use of technology and the Internet. These include student use of the Internet, student privacy, assistive technology for children with disabilities, plagiarism, copyright issues, fair use, and intellectual property rights. The issues just discussed, however, deal specifically with human resources administration.\textsuperscript{17}

Privacy and Technology
Privacy is the most pervasive concern about the use of technology and particularly the Internet. In schools and school districts, networked computers typically display a security message that, if read in detail, states that the Website is secure because it is protected by a security protocol. Obviously, that means the information received and sent is protected and cannot be read by others because the information is encrypted. This is the least of the concerns about privacy, even though it is sometimes considered to be the most important, particularly by those with little knowledge of privacy issues.
Overall, the issue of privacy centers around the amount, type, and duration of information about people that is available in data warehouses. Further, the ease and speed with which such information is collected, stored, and retrieved exacerbate the privacy issue. Physical limitations that are not present in electronic technology were previously the major deterrents to collecting pervasive amounts of data on people. For example, the teaching certifications held by applicants that were listed on paper application forms by would-be employees could not be accessed unless the applications were physically handled and observed by a designated employee. However, online applications allow school district employees with computer skills to use software programs that permit the development of reports setting forth all the teaching certifications of applicants over any period of time. Such information could be of significant assistance in the recruitment of teachers with specific certifications. This is the upside of data mining.

The concern about data mining involves dishonest employees with access to data. Employees who are capable of accessing the social security numbers of other employees could use those numbers to access the financial information of those other employees through external databases.

Privacy has a number of considerations that are within the purview of society in general and that are usually discussed in the media and the political arena, often leading to legal and legislature involvement. Issues such as freedom from interference and unwanted intrusion are the topics of concern in the technological era. The focus here is, of course, on the privacy issues that are present in human resources administration.18

Merging Personal Data
Although the retrieval of data was discussed briefly in the context of data mining, the transferring, exchanging, and combining of personal data raise much more serious and problematic issues. There is no significant privacy issue with the mere recording of data in databases; the real concern occurs when those databases are merged with other, unrelated databases for the purpose of integrating the information into a composite file.

For example, consider a school district or a consortium of school districts that has developed self-insured medical and hospital plans. In the process of developing this venture, a third-party administrator is hired to manage the programs. The Health Insurance Portability and Accountability Act (HIPAA), which protects the health records of individuals from disclosure, was passed by the U.S. Congress and signed into law in 2003. Nevertheless, health records are of concern to employees of school districts. Because of their employment, significant amounts of information about those employees are contained in other databases owned by the districts. Depending on the proper use of security measures, there could be little difficulty in merging those health records with other databases.

Ethical issues that could arise from the accessing of information by others are intrusion and interference, both of which come to light and converge in the technological age in the context of surveillance. An example of surveillance is the use of cookies, which are files from Websites visited by a Web user that are then stored on the user’s hard drive; the cookie for a specific Website can be retrieved from the individual’s system and submitted to that Website the next time the person accesses it; this information is then accessed by Website owners and stored in databases.19 Of course, no company or individual gathers information and stores it in a database without a purpose. This is exactly what happens in credit and medical information bureaus. Such bureaus merge and match databases.
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The ethical issues become apparent when certain data-gathering institutions such as lending institutions and political parties engage in this practice.

**Future Issues**

The future of technology in human resources administration will probably be centered on certain issues that are still evolving. However, the overriding issue that every school district is concerned about is security of the data that are stored and accessed in intranet databases. Thus, the future of human resources administration will be inexorably tied not only to advances in the technology itself but also to ethical issues.

Human resources administrators are constantly challenged to keep up with technological advances and the ethical issues that are certain to follow. Changes in technology appear to have no limits. However, the emergence of ethical issues is certain because people are the focus of human resources administration. Of course, the issue of human dignity is melded into all human resources issues, particularly in the areas of privacy and self-determination. At this juncture in the development of the disciplines of both technology and ethics, a new term, cyberethics, has been coined to focus the attention of professionals on emerging legal and ethical disputes. Cyberethics studies how technology has affected public policy. This term connotes the use of computing and communicating technology specifically through handheld devices, desktop and laptop computers, and mainframe computers that are connected directly to the Internet or through privately owned computer networks. More important is the mind-set that this term evokes—one that views all advances and mutations as a condition of technological advances.

**Implications for Small- and Medium-Size School Districts**

The implications for small- and medium-size school districts are explained easily in relation to Figure 1.3 and Exhibit 1.1. Clearly, the central office positions in Figure 1.3 ultimately report to the superintendent of schools, including five assistant superintendents responsible for human resources, administrative services, elementary education, secondary education, and instructional services. Directors, principals, and coordinators also report to those assistant superintendents. Staff members and teachers report to some directors and to the principals. This is an organizational structure for a school district of approximately 25,000 students. All these positions can be collapsed into the responsibilities of the superintendent of schools in small- and medium-size school districts. The superintendent can then delegate some of his or her responsibilities to an assistant superintendent or director. For example, an assistant superintendent may be responsible for transportation, food services, facilities, and budgeting. Further, building principals may assume the human resources responsibilities of advertising for and selecting the staff members and teachers who will be working in their schools. A coordinator can be given the responsibilities of administering staff development programs, directing special education, and developing curriculum. All these responsibilities can be rather fluid from year to year, depending on such issues as upcoming bond issue elections. In this situation, the assistant superintendent may assist the superintendent in working with architects, construction managers, or bonding attorneys in preparing for a bond issue election. The bottom line is that the superintendent is ultimately responsible for
all these functions, and it may be necessary to delegate some of them to central office or building-level administrators.

A further implication for small- and medium-size school districts can be gleaned from the job descriptions of the six major human resources specialists, which include responsibilities for overall human resources administration, employee relations, staff development, affirmative action, employee benefits, and risk management. Once again, all these human resources functions are ultimately the responsibility of the superintendent of schools. He or she may not have other central office administrators to whom he or she can delegate some of the human resources responsibilities. This is particularly true in relation to overall human resources administration, employee relations, affirmative action, employee benefits, and risk management. Staff development may be delegated to a building principal, but the others are usually not within the competency of building administrators. An insurance consultant or agent can assist with risk management, and the health insurance provider can assist with benefits management. An attorney can help with affirmative action to a certain degree, but the superintendent is probably the only person in a small- or medium-size school district who can assume the responsibilities of employee relations and certain dimensions of affirmative action. It is the superintendent who has the ultimate responsibility.

Impact of Generation Y Teachers and Administrators on Human Resources Administration

Each generation has a unique set of characteristics, and this is true of the generation of new teachers and administrators that most school districts are attempting to recruit, hire, and retain. The purpose of including a section on Generation Y is to establish a perspective that is helpful to superintendents, human resources administrators, and principals as they initiate the human resources functions. What follows are generalizations, and thus, they may not apply to a given person. All the chapters in this text, except for Chapter 10, contain a section on the impact of Generation Y on the specific content in those chapters.

For example, one of the most important characteristics of Generation Y is the desire to trust in authority. Baby boomers, as a generalization, had little admiration for authority and government. What Generation Y employees want from their leaders is behavior that can be admired, which leads to trust. It is difficult to ask people to trust in principals and superintendents based only on blind faith supported by the titles of their leadership positions. Admired behavior is a powerful force that can transform a school or school district into a true learning community, where all employees feel appreciated and know they can count on the good intentions of administrators when they make decisions that affect the employees’ careers.

Another characteristic of Generation Y is the value that they place on education. This characteristic has even been reflected in the popular media, particularly in tandem with the economic crisis facing the United States and, indeed, all world markets. For some time, people have based a significant amount of their social and economic self-worth on what they owned in terms of property and investment portfolios. However, now there is a shift to what economists refer to as human capital, defined as the value that a person has based on his or her work ethic, skills, and education. How these human assets are used in getting
a job constitutes a kind of capital that is not diminished easily. Of course, there are fewer jobs, but the competition for the remaining jobs will be fierce, and the winners will probably be those with the most human capital. This is how those in Generation Y look on their future economic stability. They value salary and fringe benefits along with wanting to get ahead in a shorter period of time as they seek out purposeful employment.22

Summary

Our system of free and universal public education is unique to U.S. society. The school as an institution receives its mandate from the society it serves, and change is an integral part of this society. The content of our educational programs must not only address the fundamental principles of individual freedom, individual responsibility, and democratic government but must also retain the flexibility to meet new developments and conditions.

Implementing society’s educational objectives is the responsibility of the individual states. The state’s authority to create and govern the public schools is embodied in the state constitution, and it exercises this authority through the state legislature. The administrative arm of the state legislature is the department of education, which is usually governed by a board and administered by a commissioner or state superintendent. The legislature also delegates authority to local units—boards of education. However, the state maintains some control over the local boards by establishing minimum educational program requirements and teacher certification requirements, and by providing funds to help finance education.

The federal government has increased its influence on education through congressional acts that provide funds for special programs, through the regulations of the U.S. Department of Education, and through Supreme Court decisions. However, the federal government’s power and influence are still considerably adjunct to state authority in education.

President George W. Bush signed the No Child Left Behind (NCLB) Act into law in January 2002. NCLB ushered in the most extensive changes in federal law concerning public school education in forty years. It is the first time that federal legislation mandated student success; all other federal legislation mandated opportunity rather than success.

The law requires that all children be proficient in reading and mathematics by 2014. Further, schools are required to make adequate yearly progress (AYP) toward the 2014 goal. Thus, each state must develop student testing programs that demonstrate satisfactory student improvement each year. The consequences of not achieving AYP vary from being designated as a school needing improvement to being designated as one facing severe repercussions, such as replacing school personnel or extending the school year, after five years of not achieving AYP.

For human resources administration, the NCLB provisions require serious attention. First, there is the requirement to hire highly qualified teachers who are capable of helping students meet the proficiency requirements. Second, the provision that students must demonstrate AYP has serious implications for teacher performance evaluation and staff development. Finally, noncompliance with AYP for five years might result in the replacement of administrators, teachers, or staff members.

NCLB is a particular manifestation of school reform. The reform movement is always before us in education because change and improvement are embedded in the education profession. The formulas for successful reform have some common elements: a vision that uses a learning community approach leading to organizational reform, the establishment of
a leadership team that uses teacher leadership in consort with principals’ responsibilities, the importance of making decisions based on evidence, and the benefits of using technology in management and instructional strategies.

School districts are perhaps the most democratically controlled agencies of government. Citizens of a local community elect school board members, who in turn adopt policies for the governance and administration of the schools. The implementation of board policies is the responsibility of the administrative staff.

Administration is the process of managing human, financial, and material resources to accomplish an educational mission formulated as policies by the board of education. Therefore, administration is an executive rather than a policy-making activity. Its various functions include human resources administration, instructional programs administration, and support services administration. Each of these functions has objectives that are implemented through administrative processes, procedures, and techniques.

Functions are performed by administrators within a given organizational structure. The superintendent, as the chief executive officer of the school board, has full control of all school operations. These operations are so complex that his or her efforts must be amplified by an administrative team. This team is usually composed of assistant superintendents who administer the major functions of the school system. These assistant superintendents form a cabinet that helps the superintendent formulate strategies and shares in the decision-making process. Directors and coordinators perform administrative tasks that support the major functions of the district. They report directly to assistant superintendents.

Every school system performs a human resources function, whether accomplished by a central office unit or assigned to various administrators within the system. The goals of the human resources function are to achieve the objectives of the school district and to help individual staff members maximize their potential and develop their professional careers. These goals are implemented through human resources planning, recruitment, selection, placement and induction, staff development, performance evaluation, compensation, and collective negotiations.

All but the very smallest school districts should delegate the human resources function to an assistant superintendent. The complexity of this function in our schools and the great impact it has on total school operations necessitate the hiring of this personnel specialist.

Collective negotiations have also created a need in most school districts for another specialist, the director of employee relations, who reports to the assistant superintendent for human resources and is charged with managing the negotiations process.

The knowledge explosion; increased federal legislation and litigation; and the changing attitudes of parents, students, and educators have necessitated an ongoing staff development program for administrators and teachers. As with collective negotiations, this area is so specialized that most districts should consider establishing the position of director of staff development, who also reports to the assistant superintendent for human resources.

The avalanche of federal legislation and litigation has also necessitated the creation of another central office administrative position, director of affirmative action. Federal legislation requires that a detailed compliance program be established under the direction of an administrator who is free from the influence of other administrators. Thus, the director of affirmative action should report directly to the superintendent of schools.

The escalating costs of healthcare and workers’ compensation and the need to implement managed care have reinforced the need for school districts to establish the position of
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director of employee benefits. This administrator reports to the assistant superintendent for
human resources.

As in the rest of society, schools are places of potential risk to students and employ-
ees. The risks range from personal violence to accidents to loss of confidentiality. Safety
and security audits, rules, and procedures must be developed in order to ensure an environ-
ment that is as risk-free as possible for both students and employees. Because of this need,
school districts have created the position of director of risk management.

There are two leadership theories that appear most appropriate for the practice of human
resources administration: transcendental leadership and total quality management (TQM).

The basic premise of transcendental leadership is that a person acts from the totality of
who he or she is as a human. Most administrators are generally aware that their decisions
are influenced by more than just the immediate circumstances and that the effects of their
decisions can go beyond the present situation.

Transcendental leadership has two components. First, six elements pertain to disposi-
tions that individual human resources administrators should possess in order to be centered
on human growth and development: use reflection on practice, practice the principle of
subsidiarity, act from a political base, act from a sense of duty and responsibility, advocate
for social justice, and formulate professional positions through discourse. Second, ten
focuses establish a transcendental culture in a school district that is organizationally sup-
portive of human growth and development: identity, collaboration, concern for people,
coordination, empowerment, risk supportive, performance, criticism tolerance, process, and
change.

In post–World War II Japan, W. Edwards Deming introduced the theory and applica-
tion of total quality management (TQM) to the Japanese with outstanding positive results.
Aspects of Deming’s fourteen principles are being implemented in some school districts
throughout the United States. These principles can be applied effectively to the human
resources function in school districts.

The impact of computer technology cannot be overestimated in all aspects of educa-
tional administration. When this technology is applied to the human resources function, it
produces many benefits, including cost effectiveness, efficiency, assessment of school dis-
trict operations, and engagement of employees. In human resources administration, com-
puter technology is being used for initial entry and changes in personnel information, the
request and use of forms, task performance, the posting of job opportunities, online recruit-
ment and selection of personnel, online staff development and training, and relational data-
base reporting. When selecting computer hardware and software, it is important to consider
the human resources needs of the district, to research the types of hardware and software
available from vendors, to establish a realistic budget for the bidding process, and to make
decisions based on a cost-to-benefit ranking. Computer software applications are available
for every dimension of the human resources function.

Security issues dominate the technological revolution, particularly in relation to both
the Internet and the intranet. The implication for human resources administration is that
there should be a policy that restricts the use of school district–owned equipment and access
to the Internet for school business purposes only. In addition, abusive emails and Internet
content are certainly a violation of the law. It is the responsibility of human resources
administrators to develop and implement policies and reporting procedures that help other
administrators monitor the teaching environment so that it is free from harassment.
Although electronic communications of public employees are considered to be discoverable in court under public records laws, the usual practice is that emails are considered private unless subpoenaed by a court.

**Self-Check Quiz**  Click here to take an automatically-graded self-check quiz.

**Discussion Questions and Statements**

1. Describe the role of the board of education in relation to the human resources function.
2. What is the human resources responsibility of the superintendent of schools?
3. Describe how the dimensions of the human resources function are interrelated.
4. How does the use of technology in human resources administration support data-driven decision making?
5. If you were a newly appointed assistant superintendent for human resources, how would you initiate the concept of TQM for the human resources function in a department that has had autocratic leadership?
6. Describe the link between the human resources function and both the business and the instructional functions of a school district.
7. Without identifying the school district, which Interstate School Leaders Licensure Consortium (ISLLC) criteria in the chapter appendix are the most difficult to initiate in a school district with which you are familiar? Why?
8. What is transcendental leadership, and how is it related to effective human resources administration?
9. What are the essential elements and focuses of transcendental leadership?
10. What impact does the NCLB Act have on human resources administration?

**Suggested Activities**

1. Interview an assistant superintendent or director of human resources in a small-size school district with one to three elementary schools, a middle school, and a high school. Engage the assistant superintendent or director in a discussion about the organizational structure of the school district and how it influences the human resources function. Inquire about the way other administrators, teachers, and staff members have been involved in carrying out the human resources function.
2. Develop, in writing, a job description for the director of human resources for a school district with approximately 100 professional personnel.
3. Develop, in writing, a rationale and plan for enhancing the human resources function through the use of technology in a school district with 2000 students and minimal financial resources.

**Focus Scenario Activity**

Given that you have read and studied this chapter, how would you organize the human resources function in your new position, and how would you use other administrators, teachers, and staff members in carrying out human resources responsibilities and procedures?
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Appendix
Selections from the ISLLC Standards*

The Interstate School Leaders Licensure Consortium (ISLLC) is a program sponsored by The Council of Chief State School Officers. Through this program, professionals from twenty-four state education agencies and representatives from various professional associations crafted a set of model standards for school leaders in 1996. The standards are compatible with the new curriculum guidelines for school administration established by the National Council for the Accreditation of Teacher Education (NCATE). Further, the ISLLC standards are being used by many states in the assessment of candidates for administrator certification and licensure.

There are six standards. Each standard is operationalized through three dimensions: knowledge, dispositions, and performances. The content of this text will help those seeking certification and licensure to understand certain ideas and concepts that are usually part of the assessment procedure. A listing of those standards follows, along with their dimensions and the chapters of this text that contain the information.

**Standard 1**

A school administrator is an educational leader who promotes the success of all students by facilitating the development, articulation, implementation, and stewardship of a vision of learning that is shared and supported by the school community.

**Knowledge**

The administrator has knowledge and understanding of

- The principles of developing and implementing strategic plans
- Information sources, data collection, and data analysis strategies

*This standard and its accompanying knowledge are treated in Chapters 1 and 2.*

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Standard 2
A school administrator is an educational leader who promotes the success of all students by advocating, nurturing, and sustaining a school culture and instructional program conducive to learning and staff professional growth.

Knowledge
The administrator has knowledge and understanding of
• Applied motivational theories
• Diversity and its meaning for educational programs
• Adult learning and professional development models

Dispositions
The administrator believes in, values, and is committed to
• Life-long learning for self and others
• Professional development as an integral part of school improvement
• A safe and supportive learning environment

Performances
The administrator facilitates processes and engages in activities that ensure
• Professional development promotes a focus on student learning consistent with the school vision and goals
• Life-long learning is encouraged and modeled
• There is a culture of high expectations for self, student, and staff performance
• Technologies are used in teaching and learning
• A variety of supervisory and evaluation models is employed

This standard and its accompanying knowledge, dispositions, and performances are treated in Chapters 2, 6, 7, and 8.

Standard 3
A school administrator is an educational leader who promotes the success of all students by ensuring management of the organization, operations, and resources for a safe, efficient, and effective learning environment.

Knowledge
The administrator has knowledge and understanding of
• Theories and models of organizations and the principles of organizational development
• Operational procedures at the school and district level
• Principles and issues relating to school safety and security
• Human resources management and development
• Legal issues affecting school operations
• Current technologies that support management functions

Dispositions
The administrator believes in, values, and is committed to
• Making management decisions to enhance learning and teaching
• High-quality standards, expectations, and performances
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- Involving stakeholders in management processes
- A safe environment

**Performances**
The administrator facilitates processes and engages in activities ensuring that

- Emerging trends are recognized, studied, and applied as appropriate
- Operational plans and procedures to achieve the vision and goals of the school are in place
- Collective bargaining and other contractual agreements related to the school are managed effectively
- The school plant, equipment, and support systems operate safely, efficiently, and effectively
- Financial, human, and material resources are aligned to the goals of schools
- Organizational systems are monitored regularly and modified as needed
- Responsibility is shared to maximize ownership and accountability
- There is effective use of technology to manage school operations
- Human resources functions support the attainment of school goals

_This standard and its accompanying knowledge, dispositions, and performances are treated in all chapters of this book._

**Standard 4**

A school administrator is an educational leader who promotes the success of all students by collaborating with families and community members, responding to diverse community interests and needs, and mobilizing community resources.

**Knowledge**
The administrator has knowledge and understanding of

- Emerging issues and trends that potentially affect the school community
- The conditions and dynamics of the diverse school community
- Community resources

**Disposition**
The administrator believes in, values, and is committed to

- The proposition that diversity enriches the school

**Performances**
The administrator facilitates processes and engages in activities that ensure

- Available community resources are secured to help the school solve problems and achieve goals
- Diversity is recognized and valued
- Opportunities for staff to develop collaborative skills are provided

_This standard and its accompanying knowledge, disposition, and performances are treated in Chapters 2, 3, 5, 6, and 8._
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Standard 5
A school administrator is an educational leader who promotes the success of all students by acting with integrity, fairness, and in an ethical manner.

Knowledge
The administrator has knowledge and understanding of
• Professional codes of ethics

Dispositions
The administrator believes in, values, and is committed to
• The principles of the Bill of Rights
• Bringing ethical principles to the decision-making process
• Accepting the consequences for upholding one’s principles and actions

Performances
The administrator
• Demonstrates a personal and professional code of ethics
• Protects the rights and confidentiality of students and staff
• Demonstrates appreciation for and sensitivity to the diversity in the school community
• Fulfills legal and contractual obligations
• Applies laws and procedures fairly, wisely, and considerately

This standard and its accompanying knowledge, dispositions, and performances are treated in Chapters 2 and 10.

Standard 6
The school administrator is an educational leader who promotes the success of all students by understanding, responding to, and influencing the larger political, social, economic, legal, and cultural context.

Knowledge
The administrator has knowledge and understanding of
• The importance of diversity and equity in a democratic society

Performances
The administrator facilitates processes and engages in activities that ensure
• Communication occurs among the school community concerning trends, issues, and potential changes in the environment in which schools operate
• The school community works within the framework of policies, laws, and regulations enacted by local, state, and federal authorities

This standard and its accompanying knowledge and performances are treated in Chapters 1, 2, and 10.