ETHICS AND THE PRINCIPALSHIP

by

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in

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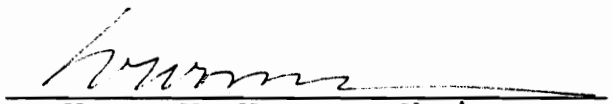
APPROVED:



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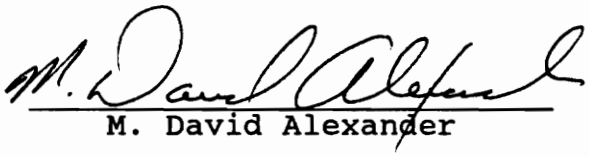

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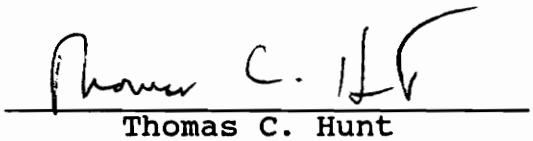

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(ABSTRACT)

The primary aim of this study was to produce materials on ethics which could be used in the preparation of practicing and potential principals.

To examine the views of secondary school principals involved in the study, twenty scenarios were developed which portrayed situations that principals typically encounter. School divisions in Virginia were divided into four categories according to enrollment and the number of secondary schools in the division. Ten schools from each classification were randomly selected, and on-site interviews were conducted with each principal in which four of the scenarios and a survey form were employed to collect information. Responses of the principals to the scenarios were transcribed, analyzed and distilled.

The scenarios and responses became the foundation for the development of a primer on ethics for use in

administrative in-service workshops and principal preparation programs. The primer was used in designing and presenting in-service programs on ethics for the administrative staffs of two school divisions.

Responses by principals to situations presented during the study and the in-service programs indicate that practicing and potential school administrators would benefit by having ethics included as a fundamental part of their professional preparation program.

ACKNOWLEDGEMENTS

Dag Hammarskjold wrote, "Thus it was, I am being driven forward into an unknown land. The pass grown steeper, the air colder and sharper. A wind from my unknown goal stirs the strings of expectation. Still the question: shall I ever get there?...

In the continuing process of getting there, I would like to acknowledge the support, encouragement and patience of my wife and sons. To Drs. David Alexander, Jim Fortune, Thomas Hunt and Richard Salmon, I express my deep appreciation for their insights and direction. In addition, I offer a special tribute to a fine gentleman and respected educator, Stuart Beville, for his moral support and belief in the study.

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CHAPTER I

Introduction

The recently concluded Iran-Contra hearings with its theme of "plausible deniability" and subsequent events including (1) the Savings and Loan scandal; (2) the host of Congressmen under investigation by ethics committees; (3) the highly questionable fund raising practices of some television evangelists; (4) the policy of racial discrimination at many private clubs in America; (5) the controversy over the "right to life" for the unborn and the aged; (6) the continuing revelations of insider trading and fraud on Wall Street; (7) the questions being raised over the intention and effect of grouping and tracking systems used by many public elementary and secondary schools; and (8) the debate over political campaign funding and the "buying of Congress", have sparked a renewed national interest in the examination of ethical and appropriate behavior (conduct) exercised by those in positions of leadership.

For educators, the issue of ethical conduct and appropriate behavior in accordance with established standards has never been more critical. The wave of reform reports with their emphasis upon the deficiencies of public education and the failure of educators to respond appropriately and

effectively to the academic needs of students and the economic needs of the nation has resulted in an intense scrutiny of American education and its leadership. With each publication, confidence in the system and regard for its practitioners is eroded.

Although the focus on ethics over the years has shifted between keen interest and perfunctory recognition, it appears society and the professions may again be intent on addressing the issues of ethical behavior and professional standards. In this regard, the preamble to the AASA Code of Ethics states:

> Public schools prosper to the extent they merit the confidence of the people. In judging its schools, society is influenced to a considerable degree by the character and quality of their administration. Society demands that any group that claims the rights, privileges, and status of a profession prove itself worthy through establishment and maintenance of ethical policies governing the activities of its members. A professional society must demonstrate the capacity and willingness to regulate itself and to set appropriate guides for the ethical conduct of its members (Knezevich in Immegart & Burroughs, 1970, p.17).

Significance of the Study

The recent close examination of our public schools has revived interest in and support for educational improvement and revitalized the pursuit of excellence by many in the educational community. Although the present focus appears to

be upon excellence, issues of equity and efficiency lie just beneath the surface of the national wave and can appear at a given moment.

Within this reality of present conditions and future potentialities resides the school principal. Much of the recent reform literature has identified the principal as the single individual who has the necessary position, authority and opportunity to restore confidence in public education by insuring that schools respond effectively with the changes necessary to improve educational programs. However, principals must become aware of the possible pressures any reform movement may have upon their behavior. If reform becomes the central focus, convenience can override caution and judgement in the selection of the means to achieve the desired ends. Principals must view education as the process that teaches what is of value "in a morally acceptable manner" (Peters, 1967, p.3). In addition, they must recognize that ethics represents conscious action taken because it is viewed as being correct; in short, it is what a person ought to do voluntarily (Phenix, 1964, p.215; Berkson, 1968, p.237).

To raise the consciousness of principals with regard to courses of action selected and the rationale employed in determining choices, it is important to know how principals respond to ethical dilemmas. By describing their perceptions

as to the actions most principals would take in a situation and what they perceive the ethical action should be, it is possible to analyze and understand the reason(s) for each decision.

In public elementary and secondary schools, numerous situations exist which have the potential to test the ethical predisposition of school administrators. Among them are issues as diverse as school prayer, the placement of children in special education programs, the observation and evaluation of teachers, the emphasis upon excellence as represented by increased percentile scores on state-wide standardized achievement tests and fund raising activities designed to support a variety of school functions. Prayer, education of the handicapped, personnel evaluation, improved student achievement and fund raising represent typical areas in which principals must frequently make decisions, and yet despite legal requirements, mandates, regulations, basic program expectations and established policy, these issues are handled differently within schools in a division as well as between school divisions.

The question of prayer in the public schools has been answered through a series of court rulings, notably the Supreme Court decisions in School District of Abington Township v. Schempp and Murray v. Curlett; yet in some schools

and classrooms prayer occurs routinely.

The concepts of free and appropriate public education, least restrictive environment and an individualized plan are fully explicated in the Education for All Handicapped Children Act (PL 94-142) and clarified in Supreme Court decisions rendered in Hendrick Hudson District Board of Education v. Rowley and Irving Independent School District v. Tatro cases; yet in some schools changes in a child's placement are made unilaterally, and parental involvement is regarded more as interference than an established right.

The improvement of instruction through a well defined and implemented program of classroom observation and teacher evaluation appears to be a common objective in most school divisions, and yet practices by some school principals would lead one to conclude that observation and evaluation policies are merely paper requirements to be met by filing the required evaluation forms before the due date.

Student academic achievement has become a major priority as evidenced by the importance placed on standardized test scores, curriculum revision, restructuring and teacher preparation. Yet to assure higher test scores, some schools seem to place an inordinate amount of time on material which will appear in the test rather than emphasize pupil learning.

The responsibility of the state and locality to finance the operation of the public schools is broadly accepted. In many schools fund raising is a substantial venture, and relationships between vendors and school principals are designed to increase revenues through an assortment of arrangements which insure the return of profits to the school through the sale of items from student pictures to flower bulbs, citrus fruits, magazines and yearbooks.

Procedures to ensure compliance with state mandates and federal regulations include a number of self-regulatory reporting measures. However, on-site reviews frequently uncover glaring discrepancies between what school divisions report and what review teams find in practice.

Statement of the Problem

Within each of the areas described and a host of others, school principals make decisions daily. These decisions are driven by personal, societal, professional and/or organizational ethic standards and have the potential for conflict with legal rulings, state laws, federal regulations, societal expectations, professional standards and/or school board policy. When improper actions occur, do those actions represent deliberate choices to ignore the law, ignorance of

the law, a belief one's position is above the law, the following of orders, a feeling of doing what is expected (Poindexter phenonemon), the fact no one has complained or a conscious, voluntary effort to take the action viewed as being correct?

How do principals respond to ethical dilemma? What would most principals do in a given situation? What do principals view as ethical when presented with specific situations? What ethical standard(s) (personal, societal, professional or organizational) influence principals' actions? Should training in ethics be part of administration preparation programs? If so, what kind?

Today principals appear to be caught in a means/ends dilemma. Does an ends oriented society forgive and forget inappropriate means, if the predetermined ends are achieved? Is compromise rather than conviction based upon principle an acceptable basis for decision making?

This study has examined those issues and, in the process has produced materials which can be used in pre-service and inservice programs for principals. These materials are designed to generate discussion concerning the study of ethical issues for practicing and potential school administrators.

Purposes of the Study

The purposes of the study were to:

1. Examine how principals respond to ethical issues in decision making, and
2. Produce a set of materials on ethics which can be used in the preparation of practicing and potential principals.

Need for the Study

Society at large is concerned that those in arenas of public service display responsible behavior and ethical decision making. In addition, the public/media message emerging from the ongoing examination of the behavior of those in positions of public trust represents a clear call to those in authority to examine the basis upon which they make judgments. The actions of principals are both visible and important, and as greater exposure is given to events that challenge the sense of right and wrong, there will be increased demand that school administrators perform ethically. However, this expectation comes at a time when formal training and courses/programs in ethics are a minimal part of the preparation of school administrators. Indeed, it appears the education profession has placed superficial

of school reform, excellence in education and confidence in the public school system will affect principals with little or no prior training in ethics. Consequently, the purpose of this study was to produce materials which would assist principals and those who prepare them in examining the role of ethics in educational leadership and decision making.

Definition of Terms

The technical words and some common terms of this study that are used in a limited or unusual way are defined below:

Ethical behavior - Conscious action taken because it is viewed as being correct; it is what a person ought to do voluntarily (Phenix, 1964, p.215; Berkson, 1968, p.237).

Personal ethic standards - Those standards which have been adopted and developed by an individual to guide and direct behavior (Immegart & Burroughs, 1970, p.93).

Societal ethic standards - Those standards which are the norms or values which essentially govern the behavior of members of society (Immegart & Burroughs, 1970, p.93).

Professional ethic standards - The values, codes and expectations which guide the behavior of members of the profession (Immegart & Burroughs, 1970, p.93).

Organizational ethic standards - The policies and regulations of the institution employing the individual

(Immegart & Burroughs, 1970, p.93).

Organization of the Study

The study is organized into six chapters. The first chapter includes an introduction to the study and covers the background, significance, purposes, delimitations and organization of the study along with the research questions, assumptions and definition of terms used in the study. Chapter two is a review of the relevant literature. Chapter three contains the methodology used in data collection, the population from whom the data were collected and the procedures used to interpret the data. Chapter four includes the interpretation of the data, and chapter five has some observations and reflections regarding the study. Chapter six consists of the materials developed for use in the preparation of school administrators or staff development activities for practicing administrators.

CHAPTER II

Review of Literature

In his widely acclaimed work, Education and the Cult of Efficiency, Raymond Callahan (1962) traces the emergence of educational administration programs for the training and preparation of school administrators. Drawing upon research from Jesse Newlon's 1934 doctoral dissertation, Callahan notes that, in a survey on the most important topics in training superintendents, professors of administration and city superintendents ranked "Professional Relations - Ethics" in a fourteenth place tie with "School Records and Reports" out of eighteen items listed. Only "School Surveys", "School Laws of State" and "Education and the Federal Government" fared worse.

Today entering the last decade of the twentieth century, little appears to have changed regarding the emphasis placed upon ethics in equipping school administrators for the formidable task of becoming educational leaders. An examination of the research done in the area of school administration and ethics over the past twenty years reveals very little. The only dissertation identified which examined the topic of ethics and school administration was written by Chester Dexheimer (1969) and focused upon whether or not a

discrepancy existed between what the American Association of School Administrators accepted as a Code of Ethics, and what they considered relevant in daily professional behavior.

Employing a design based upon an investigation of the New York City Bar Association by Jerome Carlin (1966), Dexheimer devised a fifteen item questionnaire which described ethical situations likely to be encountered by a chief school administrator. These situations were developed from actual experiences of superintendents published in School Management and the School Board Journal, from other superintendents the author knew, and from the investigator's work in a pilot study.

A continuum of four to six responses was written for each ethical situation presented in the questionnaire. They ranged from a response which more closely adhered to the guidelines of the AASA Code of Ethics to responses which were less ethical when judged by those standards. Space for a written response was provided, and each respondent was asked to indicate if the answer to each situation was chosen as a result of an actual experience, or what might be done, if faced with a similar situation.

As a result of his finding that a significant discrepancy existed between "acceptance of a professional code of ethics, and adherence to that code in actual practice by chief school

administrators" (Dexheimer, 1969, p. 56), Dexheimer concluded that "ethical standards are internalized personally and are not determined by public codes" (Dexheimer, 1969, p. 60). He recommended the use of simulations keyed to the AASA Code of Ethics in graduate programs aimed at chief school administrators.

Given impetus by the formal publication of the AASA Code of Ethics in 1966 and converging with the Dexheimer study, the Department of Educational Administration of the College of Education at the University of Rochester sponsored the First Annual Seminar for Chief School Officers in November, 1968, to consider the topic of ethics and its place in the educational training of administrators. The major presentations of this seminar were edited by Glenn Immegart and John Burroughs (1970).

From the introduction, Immegart and Burroughs (1970) made it clear their purpose was to stimulate and promote a more penetrating examination of ethics as an essential topic for the preparation of school administrators.

> This is not to say that educational administrators or professors and scholars of educational administration have not been concerned with ethics and their field of practice. Certainly many have been . Rather, this profession has not yet given systematic attention to the ...relevance of ethics for administrative practice in education. The stage is ...set societally, in the professions generally, and in this field itself for more appropriate attention to ethics and professional behavior. What can be done represents the next step. (Immegart & Burroughs, 1970, p. 7)

For them, the next step was the two day Rochester Seminar which brought together nineteen participants, including authorities from the fields of educational administration and educational philosophy along with practicing superintendents to examine the issue of "Ethics and the Superintendency". Their hope was to see ethics take "its rightful place along side of the human, technical, and conceptual dimensions which are already a part of administrative training" (Immegart & Burroughs, 1970, p. 10).

Evincing the concern that educational administrators must incorporate ethical considerations and principles in their decision-making process, Peter Sola (1984) edited a book of readings. Although Sola did not present a specific argument for including ethics as a requisite for administrative preparation, he included the Dexheimer study and several essays which employed a case study approach to examine ethical issues.

With the completion of Ralph Kimbrough's (1985) work an important step was taken in the effort to advance the study of ethics as an essential ingredient for those aspiring to become educational leaders. Within the introduction, Kimbrough (1985) reflected on the failure of colleges, universities and the profession to include ethics as a topic of importance in the preparation of school administrators.

> Yet, perusal of college and university course offerings will reveal practically no formal preparation in administrative ethics for preservice students in educational administration. Furthermore, this topic seldom appears in the inservice training agendas for educational administrators. Except for a few special publications, textbooks in administrative ethics have not been published and, in fact, ethics is largely ignored as a topic in textbooks in the field. Although AASA had enjoyed more than a 100-year history, it did not adopt a code of ethics until 1966. (Kimbrough, 1985, p. 4)

By discussing obligations of an administrator such as upholding the law, handling authority judiciously, caring for the individual, avoiding conflicts of interest and being committed to professional excellence and by presenting a brief examination of moral philosophies including biblical revelation, experimentalism, logical positivism and utilitarianism, Kimbrough (1985) paved the way for the use of the case study as a vehicle for use by administrators in examining and clarifying issues which could confront them. The twenty-two case studies presented were gathered from practicing school administrators and included twelve situations involving elementary or secondary school principals.

Following Kimbrough's (1985) contribution, Strike, Haller and Soltis (1988) published a more extensive volume with the intent of providing a text for use in teaching ethical concepts of importance to school administrators along with an understanding of ethical reasoning. They strongly advocated

the use of the case study approach, and argued the cases must be discussed in a class setting and used to generate writing assignments for further reflection and analysis.

In their text entitled, The Ethics of School Administration, cases are presented which focus upon a specific principle such as freedom of expression or equal educational opportunity. After the case, a brief dialogue is provided that might occur between two individuals discussing the situation. This is followed by an examination of the central concept involved in the case along with a section which provides a penetrating analysis intended to enhance moral reasoning, provide a deeper understanding of moral theories and create a clearer view of the ethical dimensions in each situation.

In addition, the National Association of Secondary School Principals devoted a major portion of the December, 1988 Bulletin to an examination of ethics and the principalship in the hope to make principals more aware of ethics and increase their sensitivity to the public demand for ethical behavior.

Writing in the Bulletin, Raymond Calabrese (1988) pointed to ethical leadership as an indispensable ingredient for an effective school and concluded that to be effective a principal must be ethical. Acknowledging that the study of ethics has not been a part of formal administrative training,

Calabrese outlined ten guidelines to assist principals to more fully assume the mantle of ethical leadership. These guidelines included admonitions to be sure decisions best serve the interest of the school community, to see effective teaching as an obligation, to adopt a vision that reflects a clear educational philosophy and to realize actions can communicate ethical and moral behavior.

In a similar view, Clement Seldin (1988) presented five principles as means to provide ethical guidance for the secondary principal. Included were giving top priority to the educational welfare of students, respecting the worth and dignity of teachers and being a model of ethical conduct.

Concerned that the pressure to attain academic excellence could blur the ethical vision of school administrator, Moran Doggett (1988) also offered maxims for principals to follow by presenting them as appropriate responses to situations arising daily. Among the examples were the need to develop honest teacher evaluations based upon classroom observations, to discipline students in a manner that conveys no favoritism, to be open and honest with staff and community about all issues, to report all illegal or immoral activities regardless of those involved and to refuse gifts from any organization seeking to do business with your school.

An examination of the literature on ethics and the school administrator confirms that the picture is sketchy, lacking continuity, and the overriding question appears to be, "Where does education go from here?" Should colleges and universities require the study of ethics in the preparation of administrators? Should professional associations direct more of their resources toward research and seminars devoted to ethics?

In a commencement address, Edmund Day, President of Cornell University remarked:

> In our formal education at all levels we must abandon ... the idea that it is not the task of our schools and colleges to deal with moral and spiritual values ... In both curricular and extra-curricular activities, the enduring values of honorable living must be cultivated by all available means. Performance without character and ambition without integrity threaten to be our undoing. (Benson & Engeman, 1975, p. 115-116)

Echoing these sentiments, Derek Bok (1976) wrote that colleges and universities must assume responsibility for the task of equipping students to become more perceptive with respect to ethical issues, more cognizant of moral principles and more capable of applying sound reasoning when examining specific issues.

America's dissatisfaction with eroding moral behavior and the escalating number of ethical dilemmas occurring in many avenues of national life must be addressed in an intensive effort by national leaders in all arenas of society. Public

officials will have to model and encourage moral behavior; educators will have to assist students in their moral development. For, this "goal has never been more important to the quality of the society in which we live" (Bok, 1976, p. 30).

A basic premise in Terry Cooper's, The Responsible Administrator (1982), is that since the prevailing societal proclivity is to focus on meeting quotas, ethics frequently takes a back seat to the bottom line. This tendency to minimize the emphasis on ethics can be seen in institutions of higher learning where ethics is more apt to be dealt with on a superficial basis, if at all. As a result, Cooper maintains that responsible public administrators must realize ethical performance requires knowledge and understanding gained from experience combined with reflection and study, either in a formal ethics course or through personal investigation and research.

In developing the 1966 Code of Ethics and supporting work of Kimbrough (1985), the AASA has underscored its commitment to ethics as a cornerstone of the educational administration profession. This position has also been adopted by a number of professional association, including the National Association of Secondary School Principals, the National Association of Elementary School Principals, the Association

of School Business Officials and the American Association of School Personnel Administrators, who jointly developed a statement of ethics for educational administrators in 1973 (Appendix F).

Now, events touching almost every profession and phase of human activity have propelled ethics into the forefront of the national conscience. Whether this is a temporary phenomenon or not, now is the time the study of ethics can end "the preoccupation with procedures to the exclusion of principles" (Cooper, 1982, p. 4) and enable administrators to become more than "competent technicians" (Callahan, 1962, p. 203). Now is the time when relevant materials designed in an meaningful way can promote ethics as a fundamental course of study in the preparation of school administrators.

CHAPTER III

Methodology

Introduction

This chapter describes the research design and methodology used in this study. The process by which materials were developed and refined involved the interview of principals in Virginia with respect to their predisposition to a set of ethical dilemmas. Sampling and participant selection are discussed as is the development of instruments and data collection procedures. Finally, the data analysis procedures and mechanisms for converting the data to usable instructional materials are discussed.

Design of the Study

The purposes of this study were to (a) examine how principals respond to ethical issues in decision making, and (b) develop materials to be used in training practicing and potential school leaders.

Toward that end, a series of twenty open-ended scenarios (Appendix D) were written which represent typical situations encountered by principals. These situations were drawn from personal experiences and discussions with fellow administrators.

Following a process developed by Jerome Carlin (1966) and modeled by Roy Dexheimer (1969), these scenarios were formulated to present borderline situations of ethical consideration. Carlin had reported that respondents tended to exhibit almost total candor in response to borderline situations.

Each scenario was printed on an individual card. The cards were numbered and randomly divided into five groups of four scenarios each. The scenarios, along with a principal survey (Appendix B), were the primary instruments used to gather data.

Data for the study were gathered through the completion of a survey along with a structured interview conducted with each participant. The nature of the study lent itself to the interview as the most appropriate method for data collection. As Patton (1980) concluded:

> The purpose of interviewing is to find out what is in and on someone else's mind... We interview people to find out from them those things we cannot directly observe. The issue is not whether observational data is more desirable, valid, or meaningful than self-report data. The fact of the matter is that we cannot observe everything. We cannot observe feelings, thoughts, and intentions. We cannot observe behaviors that took place at some previous point in time. We cannot observe situations that preclude the presence of an observer. We cannot observe how people have organized the world and the meanings they attach to what goes on in the world - we have to ask questions about those things. The purpose of interviewing, then, is to allow us to enter into the other person's perspective. (p.196)

Interviews with participating principals were arranged and followed the outline of a prepared interview script (Appendix A). In the interview, principals were asked to complete the survey and then read each scenario set randomly selected for their interview. As each scenario was completed, the principals were asked the following questions:

1. What do you believe most principals would do in this situation?
2. Thinking about what you believe most principals would do, which ethic standard would have the greatest influence upon the decision?
3. Is this situation representative of what a principal might encounter?
4. What do you believe the ethical action of the principal should be?
5. Are you aware of any different ways in which principals have handled a similar situation? Please describe.

During the interview, principals were given a reference card which contained definitions for the terms personal, societal, professional and organizational ethic standards. All interviews were audiotaped for later transcription, and

the interviewer took notes during the interview (Appendix C). Opportunities for the interviewee to seek clarifications were provided; however, the interviewer did not probe responses beyond the need to be sure comments were understood and accurate notes were taken.

Sample Design

The population for this study consisted of high school principals in Virginia. A stratified random sampling model was employed.

Dexheimer's (1969) study on administrative ethics found the size of the school district and salary of the chief school administrator played a significant role in the nature of ethical responses provided by school superintendents. As variability in school district operation may be greater between rural and urban systems, the researcher reasoned that two factors could be applied to the selection of the sample: (1) the size (membership) of the school division, and (2) the complexity of the school division's organization. Rural divisions tend to have smaller enrollments than urban divisions, and larger districts tend to have a more complex administrative organization with policies developed to address multiple high school variations.

The first stage of the sampling process was to divide the public school divisions in Virginia into small (rural) and large (urban) classifications. Small divisions were identified as those with an average daily membership (ADM) no higher than 14,999; large divisions included all city school systems as well as divisions with enrollments of at least 15,000 pupils.

Complexity of the school division's organization was gauged by the number of high schools (any combination of grades with no grade lower than sixth and no grade higher than twelfth) in operation. Divisions with one high school were classified as simple organizations; divisions with two or more high schools were classified as complex organizations. Statistics for this categorization were obtained from Fall Membership in Virginia's Public Schools 1987-1988.

Fifteen principals were randomly chosen from each of the four division classifications identified : (1) small simple, (2) small complex, (3) large simple and (4) large complex. The principals were listed by number in consecutive order as they were selected. The first ten principals in each group constituted the sample, and the remaining five were added in order to serve as replacements for refusals.

This permitted each of the five sets of scenarios to be read by eight principals - two from each division classification.

Data Analysis

Analysis transforms data collected into meaningful patterns and categories (Miles & Huberman, 1984; Patton, 1980). Information gathered from each survey and interview was immediately transcribed, analyzed and coded by employing elements of the "constant comparative analysis" procedures developed by Glaser and Strauss (1967) and the data reduction analysis methods suggested by Miles and Huberman (1984).

The initial step involved the codification of data into categories by refining and distilling participant responses. This phase began before any data were collected as the procedures for gathering information were prescribed at the outset of the study and proceeded as data were received.

Step two involved an ongoing comparison of the data in order to refine each emerging category. As the process continued, similarities in each category were identified and the data were arranged into a continuum of specific response patterns. Saturation for each category occurred when the information generated presented no new responses or patterns.

The final phase in the data analysis process involved specifying the continuum of responses received for each

scenario.

Critical to the development of representative scenarios is the element of validity. Content validity of the scenarios was addressed in the following manner:

1. Each scenario was developed from personal experiences of the researcher along with insights shared by fellow administrators.
2. The content of each scenario was judged eight times by those principals participating in the study.
3. The scenarios were reviewed independently by ten individuals including principals involved in the study and others outside of the identified sample. They were asked to determine whether the scenarios portrayed ethical dilemmas and were representative of what principals encounter (Appendix G).

Implementation of the Study

In order to gather data, the researcher interviewed the participants at their respective high schools from June through August of 1988. Once the principals were selected, they were contacted by telephone so the purpose of the study could be explained, their willingness to participate could be

obtained and a date and time for the interview could be scheduled. Those indicating a refusal to participate were replaced by the next principal on the randomly developed list. On two occasions, circumstances prevented scheduled interviews from taking place, and the principal involved was contacted, and a telephone interview was conducted.

Pilot Test

To practice interviewing techniques and test the protocols developed for the study, the researcher conducted five interviews with area secondary school principals (2 small simple, 2 small complex and 1 large complex) using scenario set one.

These interviews supported the content in each scenario as representing actual or typical situations and provided some indication of (1) the willingness of principals to participate in the study, (2) the range of responses offered to resolve the dilemmas presented, and (3) modifications that could improve the process and enhance the nature of the data collected.

In addition, two of the principals were interviewed a second time in an effort to examine response reliability. A summary of the pilot test and reliability interviews are provided in Appendix E.

CHAPTER IV

Findings

Forty principals of public secondary schools in Virginia participated in this research study. Principals completed a survey form which provided demographic data; in addition, a structured personal interview involving ethical reasoning was conducted with each principal. A profile of the participants and findings from the interviews follows. The individuals chosen for interviews were selected from among those serving as high school principals during the 1987-88 school year through the use of a stratified random sampling technique. Characteristics of the forty principals are summarized in Table 1.

On the average, principals had eight years of experience in the principalship and were in their mid-forties with the youngest 33 and the oldest 58. Men outnumbered women (34 to 6) and four of the administrators were black (3 men, 1 woman).

Seventeen percent of those surveyed reported having taken an undergraduate or graduate course in ethics; thirteen of the principals were aware there was a professional code of ethics. (See Table 2.)

TABLE 1

Demographic Data		School Classification			
	Total	Small Simple	Small Complex	Large Simple	Large Complex
Gender					
Female	6	1	1	1	3
Male	34	9	9	9	7
Ethnicity					
Black	4	1	0	1	2
White	36	9	10	9	8
Age					
Mean	45.3	42.1	45.3	45.8	48.1
Range	35-58	35-48	37-52	33-54	39-58
Years Experience					
Mean	8.4	6.9	8.9	7.0	10.8
Range	1-30	1-21	1-15	1-16	1-30

TABLE 2

Ethics Course(s)/Code		School Classifications			
	Total	Small Simple	Small Complex	Large Simple	Large Complex
Undergraduate Ethics Course(s)					
Yes	10	1	4	2	3
No	30	9	6	8	7
Graduate Ethics Course(s)					
Yes	4	2	1	0	1
No	36	8	9	10	9
Aware of Code of Ethics					
Yes	13	5	1	3	4
No	27	5	9	7	6
Read Code of Ethics					
Yes	12	5	1	3	3
No	28	5	9	7	7

The Interview

Interviews followed the outline of a prepared script and lasted approximately thirty-five minutes. Principals were introduced to the purpose of the study and requested to complete a survey form. Permission to tape the interview was obtained, and a card containing the definitions of the terms personal, societal, professional and organizational ethic standards was given to them for reference.

At this point, the principals were given the first scenario in a set of four randomly selected for their interview. After each scenario was read, principals were asked the following questions:

1. What do you believe most principals would do in this situation?

2. Thinking about what you believe most principals would do, which ethic standard would have the greatest influence upon the decision?

3. Is this situation representative of what a principal might encounter?

4. What do you believe the ethical action of the principal should be?

5. Are you aware of any different ways in which principals have handled a similar situation? Please describe.

Principals' responses were taped, and the interviewer took notes during the interview. While opportunities for the interviewer to seek clarifications were provided, the

interviewer did not probe responses beyond the need to make sure comments were understood and accurate notes were taken.

Each of the forty high schools was visited, and thirty-eight interviews were completed at the time of the visit. At two schools, the principals were unable to keep the scheduled appointment, and telephone interviews were conducted.

One focus of the study was to examine the validity of the scenarios to determine whether they represented actual situations principals could encounter. Of the twenty scenarios, nineteen were judged by each of the eight respondents to present realistic situations, and in many cases, principals noted they had dealt with very similar circumstances.

Responses to the question regarding whether the scenario was representative of situations a principal might encounter ranged form a simple "yes" to:

"Absolutely."
"It sure is."
"I personally encounter this all the time."
"I can identify with this."
"I've done it."
"This has been encountered in this county."
"No question about it."
"It is very common."

Scenario 1-4, which presented a principal using his position to sell AMWAY products was viewed by six of the principals as being a situation that did not present a problem for principals. However, each of the six did believe

the issue was one that involved teachers. One of the respondents commented, "I know of many, many situations where teachers use this milieu to further outside business interests. There has been a great deal of this in this county going back ten to twelve years."

As a result of this assessment, the scenario was revised to portray the principal as an authorized insurance representative who debated whether or not to use his position to sell insurance to school personnel and organizations.

With this single change, the scenarios were then reviewed independently by ten individuals including six principals involved in the field test and the study along with one other secondary principal, a school division superintendent, a university professor and a representative of the Association of Secondary School Principals. (See Appendix G for list.)

Each member of this group judged the scenarios as being relevant ethical dilemmas which were representative of situations typically encountered in the principalship. Comments indicated the scenarios were "realistic", "timely", "well developed" and "presented excellent cases for use in principal preparation programs on ethics".

Another area of interest centered on the varied ways principals saw situations being handled. Answers to the

questions, "What do you believe most principals would do?" and "What do you believe the ethical action should be?" were analyzed, compared and distilled in order to identify each response that reflected a difference in dealing with the scenario presented. The number of different responses (Appendix H) ranged from two to nine with five being the average.

In the twenty tables (4-23) depicting the information collected, each scenario is numbered and entitled. Responses provided by the eight principals are listed and charted according to what principals viewed as being the action most principals would take (M) and the action believed to be the most ethical (E).

The numerals are the ones assigned to each principal in each school division classification during the random selection process. The letters O (Organization), P (Personal), Pr (Professional) and S (Societal) represent the ethic standards the respondents selected as having the greatest influence on the decision.

SAMPLE TABLE 3

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1	Action of most principals			
2	M3-Pr	Professional Ethic Standard		
3	Principal 3			Principal 7
4			E7-O	Organization Ethic Standard
5			Ethical Action	
6				
7				
8				
9				

The data arrayed in the sample table above shows that principal number three from a school division classified as small simple believed response two was what most principals would do in the situation portrayed by the scenario. In addition, the principal selected the professional ethic standard as having the greatest influence upon the decision.

Principal number seven from a large simple school division selected response four to be the ethical action taken in that situation with the greatest influence coming from the organizational ethic standard.

Scenario I

Walking through the second floor corridor on his way to the office, Chuck Osborne paused by Gladys Newman's homeroom and heard her reading the "thought for the day". Appointed high school principal three years ago, Chuck has been aware that Gladys includes in her daily homeroom period the reading of a devotional and a moment for silent prayer.

Discussion

In addressing the first scenario, each respondent indicated the situation depicted what a principal might encounter, and seven of the principals felt the organization ethic standard would have the greatest influence on what most principals would decide. Although there was general agreement that it would be necessary to speak with the teacher in order to clarify the matter and redirect her efforts, one of the principals from a division classified as large simple remarked:

> But in fact, in some schools in the morning over the PA system, you'll find things being read relative to a devotion... Most people in education now are very familiar with various rulings of the court and the atmosphere related to religious practices. However, there are still various clubs and organizations that open up their meetings by having prayer. I am reminded we just had our baccalaureate ceremony and everybody was told to rise for the prayer... So, it still has a place in education...

TABLE 4

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1			M1-O E1-O	M1-O E1-O M6-O E6-P
2	M6-O E6-O	M6-O E6-S	E6-P	
3			M6-O	
4	M1-O E1-P			
5		M13-S E13-S		
6				
7				
8				

Scenario 1 - Devotion to Duty - Principals' Responses

1. Conduct a private conference with the teacher, and direct her to discontinue the practice of having devotionals or moments for silent prayer during the school day.

2. Talk with the teacher to determine the nature of the material being used.

3. Ignore the situation until someone complains or a problem develops.

4. Direct the teacher to examine her practice so she does not have a problem, if someone questions the homeroom activities.

5. Inform the teacher she could have the moment of silent prayer but would not be permitted to read the devotional aloud.

Scenario 2

As administrators in their school, Bob Hagy or Diane Bradshaw are expected to be present during eligibility and/or placement meetings of students being considered for special education programs and services. With the increasing demands on their time and the unpredictable nature of their schedules, Bob and Diane meet to devise a procedure to be used when they are unable to attend one of the meetings.

Discussion

The second situation was regarded by each participant as one which typically confronted principals. Their view was fairly evenly divided between requiring an administrator to attend special education eligibility meetings and delegating the responsibility to other school personnel. Guidance department staff members were most frequently mentioned as designees in the administrator's absence. The four principals in the large school divisions cited the organizations ethic standard as having the greatest influence upon the division.

TABLE 5

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1	M1-O E1-Pr	M6-Pr,O E6-Pr	M6-O E6-O	M6-O E6-O
2		M13-O,Pr E13-O		M1-O E1-O
3	M6-P E6-O		M1-O,Pr E1-O,Pr	
4				
5				
6				
7				
8				
9				

Scenario 2 - Determining Priorities - Principals' Responses

1. Arrange for one of the administrators to attend the meetings.

2. Delegate the responsibility of attending the meetings to school guidance personnel.

3. Have one of the administrators present unless an emergency situation or extenuating circumstance prevents their attendance.

Scenario 3

Stacy Vickers has maintained an "A" average throughout her high school career. However, a grade of "C" in her final exam in Mathematics Analysis resulting in a final course grade of "B" has brought complaints from Stacy and her parents. They contend the exam was unfair and resulted in most pupils receiving a final grade that was at least one letter grade below the average maintained for the year. In presenting their case to the principal, the Vickers' indicate that unless some immediate action is taken to raise Stacy's grade, they will bring the issue before the school board and seek legal advice.

Discussion

For each of the principals, scenario 3 portrayed an event that was very real in the life of a principal. When noting which ethical standard would have the greatest influence on the ethical action chosen, five of the principals selected the professional standard. While discussing this situation, three principals expressed the need for a principal to resolve an issue like this "in-house", and six of the principals mentioned occasions in which teachers were required to change student grades. A first year principal in a small, complex school division commented that "principals, many times, like to resolve problems in their own building and not have the issue go to the school board and would have the teacher change the grade".

TABLE 6

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1	M6-Pr E6-Pr	M6-O,Pr E6-O	M1-Pr E1-Pr M6-Pr E6-Pr	E1-P,S
2				M6-Pr E6-P
3	M1-Pr E1-Pr	M13-Pr E13-Pr,O		M1-Pr
4				
5				
6				
7				
8				
9				

Scenario 3 - The Final Say - Principals' Responses

1. Thoroughly investigate the situation by securing information from the parents, student and teacher; arrange a meeting among them in order to make an informed, reasoned decision at the building level.

2. Investigate the matter, and after arriving at a decision, inform the parents and teacher.

3. Maintain a position of support for the teacher, and inform the parents the situation would be examined and a decision rendered.

Scenario 4

Phil Layne, principal of Brighton High School, has always had the reputation of being a "go-getter". From the beginning of his teaching career, Phil has always sought ways to make additional income through part-time enterprises. Now as an authorized AMWAY representative, he wonders if he can tap into this potential clientele of school staff and school organizations.

Discussion

Scenario 4 was uniformly viewed by each respondent as presenting a situation which would be avoided by principals. Five principals stated this situation was not representative of what a principal might encounter, but frequently saw teachers involved in the sale of products.

TABLE 7

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1	M1-Pr,O E1-Pr,O M6-Pr E6-Pr,O	M6-P,Pr E6-P,Pr M13-P,Pro E13-P,Pr	M1-O,P E1-O,P M6-P E6-P	M1-Pr,O E1-Pr,O M6-P,Pr E6-P,Pr
2				
3				
4				
5				
6				
7				
8				
9				

Scenario 4 - Mixing Business With Business - Principals' Responses

1. Keep this type of business venture separate from their schools. Avoid this type of practice.

Scenario 5

Since becoming principal at Newtown High School, Tom Prentice is convinced he needs a reliable source of information in order to understand the issues dividing the staff from the administration and arrive at some potential solutions. Two months of listening, observing and conferencing have brought little in the way of useful information. Aware that a group of five teachers usually meet daily in a small teacher conference room during a common planning period, Tom considers using the intercom system in his office to listen to their conversations.

Discussion

Although the fifth scenario was regarded by each participant as presenting a situation principals might typically encounter, the use of the intercom to listen to teacher conversations was rejected. However, three principals indicated they were aware of principals who used the intercom for the purpose of eavesdropping on teachers. One of the respondents said, "I know administrators who do it right now; I worked for a junior high principal that did it and still does".

TABLE 8

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1	M7-Pr,S E7-Pr,P	M2-P M7-P	M2-P,Pr E2-P,Pr M7-Pr,P E7-Pr	M7-P E7-P
2				E13-Pr,P
3	M9-O E9-O	E2-Pr E7-P,Pr		M13-Pr,P
4				
5				
6				
7				
8				
9				

Scenario 5 - The Right to Know - Principals' Responses

1. Avoid using the intercom system to listen to teacher conversations.

2. Bring the staff together in a meeting and openly discuss the perceived problems.

3. Meet with the five teachers individually or as a group to seek their assistance.

Scenario 6

Ever since beginning a doctoral program, Roger Edmonds has found free time to be at a premium. Evenings and weekends seem to be consumed by studying and meeting course requirements. However, with a slight schedule revision for the office staff, Roger realizes he can free up some time for one of the secretaries to be available to type course research papers and other writing assignments.

Discussion

While each of the respondents agreed the sixth scenario presented a situation that might confront a principal, one of the most interesting responses came from a principal of a small, complex school division. He acknowledged that he had required his secretary to prepare personal items for him but realized this was not proper and believed the secretary should be paid with personal funds to perform those tasks "during office down times".

TABLE 9

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1			M7-Pr E7-Pr	M13-P
2	M7-Pr E7-Pr	M7-P,Pr E7-P,Pr		
3	E9-P	M2-Pr E2-P,Pr	M2-P E2-P	M7-O,Pr E7-O,Pr E13-P
4	M9-Pr			
5				
6				
7				
8				
9				

Scenario 6 - A Matter of Degree - Principals' Responses

1. Have the secretary prepare personal items as time permits.
2. Refuse to have the secretary perform work of a personal nature.
3. Employ the secretary outside of regular working hours, and compensate her for the work done.
4. Request the secretary to work some additional hours after school or on the weekend.

Scenario 7

Albert Davilla, principal of Edgemont High School, is aware of the excellent reputation Carol Martin has as a Physics teacher at Triton High School. With Physics teachers being a rare commodity and excellent ones an almost endangered species, he debates whether he should use a mutual friend in an effort to encourage Mrs. Martin to seek employment at Edgemont.

Discussion

The seventh scenario presented a situation which each participant regarded as representative of what a principal might encounter. Responses revealed a wide variance in the kinds of action taken. Perhaps, two of the most interesting comments came from the principals of the large complex school divisions...

> I would want the best for me and the community... our superintendent wouldn't be opposed to that, I'm sure. Behind the scenes that's the way a lot of people are hired... sometimes you've got to go out and seek the best.

> Yes, this type of situation (recruiting the teacher) has occurred. I've done it myself. Internally we play too many games as principals; we tend not to think of them in ethical terms.

TABLE 10

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1		E2-Pr,O	E7-Pr	M13-P E13-P
2	M7-Pr E7-Pr			
3	E9-Pr			
4	M9-S	M2-P	M2-Pr E2-Pr M7-P	
5		M7-Pr,O E7-Pr,O		
6				M7-P,O E7-P,O
7				
8				
9				

Scenario 7 - Pursuing Excellence - Principals' Responses

1. Contact the teacher's principal, and request permission to talk with her.
2. Refuse to make any arrangements to contact the teacher.
3. Wait until the teacher makes the first contact.
4. Avoid direct contact, but make arrangements to have the teacher informed about the position.
5. Inform the principal you will be in contact with his teacher regarding the possibility of employment in your school.
6. Make direct contact with the teacher to sell your school, and see if she would be interested in applying.

Scenario 8

Dave Radison hung up the phone. He was stunned by the call from his longtime friend and former colleague, Ellis Hudson. What seemed to be a promising career move for Ellis as principal of a new middle school in a rapidly growing school district across the state had suddenly been shattered. Married and the father of two teenage daughters, Ellis had been involved in an affair with one of his teachers. When called to the school board office and confronted with the situation by the Superintendent and Board Chairman, Ellis acknowledged his indiscretion and was given the opportunity to resign or face dismissal proceedings. As Ellis had explained, the choice to resign seemed to be the only way to salvage some part of his career. With his resignation effective in a matter of days, Ellis was calling to confidentially explain his position and seek some assistance.

Would Dave go to bat for him if he applied for the assistant principal's position that was coming open in Dave's school?

Discussion

Each of the principals reacting to the eighth scenario agreed that the situation was representative of what a principal might experience. For three of them, the issue was made more real by similar events that had occurred in school divisions where they were employed. From their individual views, it was apparent they believed that helping the "friend" to obtain a position in their school would be inappropriate. As one remarked,

> As soon as he comes in as assistant principal... then somebody behind the scenes starts talking and then they go to a conference and hear that old Ellis was hired over at... Then as soon as it hits the churches and my community... you're in for hot water. There's no way I'd recommend him for the job...

TABLE 11

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1	M7-P E7-P M9-P	M7-Pr E7-Pr,P	M7-S E7-S	M13-P E13-P,S
2		E2-P,Pr	M2-Pr,P E2-Pr,P	M7-Pr,O E7-Pr,O
3	E9-S,Pr	M2-P,S		
4				
5				
6				
7				
8				
9				

Scenario 8 - Reputation at Stake - Principals' Responses

1. Do all they could to help him obtain the position.
2. Tell Dave they would not be able to assist him to obtain the position.
3. Try to discourage Dave from applying without directly indicating their position.

Scenario 9

When approached by his German teacher for a recommendation as a foreign language teacher in another school district, Bill Phillips examines his options from two perspectives. Not only does he view the teacher's job performance as marginal, but he is a professional acquaintance of the principal at the high school for whom the recommendation will be written.

Discussion

Principals agreed the situation involving the recommendation of a marginal teacher was frequently encountered by high school administrators, and five of them felt most principals would highlight the teacher's positive characteristics. As one principal remarked, "I think he also has a professional obligation to the teacher to bring up strengths and not just weaknesses..."

Another of the participants saw this situation as a chance for principals to get rid of a weak teacher without having to undergo the rigors of dismissing the individual. He noted,

> The realities of assembling a staff and having to dismiss a member are such that principals do get involved in gamesmanship. If I cannot dismiss the person, I'll send him on somewhere else. It's an opportunity to improve your own staff.

In one of the most interesting insights offered, one of the respondents stated,

> I am confronted with this situation right now where I have a person reapplying for a position who taught here five years ago, and I've never been hesitant in filling out recommendations for him and saying I would re-employ. But yes, I would re-employ him,

Scenario 9 - Discussion Continued:

but there are many people I would employ prior to him.

TABLE 12

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1		M3-S		
2				E8-P,Pr
3	M3-P M8-Pr E8-Pr	M8-Pr,P E8-Pr,P	M3-P,Pr	M8-S
4	E3-Pr		M8-P,Pr E8-P	M3-Pr,P E3-Pr,P
5		E3-P	E3-Pr	
6				
7				
8				
9				

Scenario 9 - An Opportunity to Unload - Principals' Responses

1. Agree to provide a recommendation that would be lukewarm in nature.

2. Discuss their recommendation with the teacher, and let the teacher decide whether or not to use them as a reference.

3. Write a letter of recommendation that highlights the teacher's positive characteristics but does not misrepresent the teacher's performance.

4. Provide an accurate recommendation that details the overall performance of the teacher.

5. Inform the teacher they would not be able to provide a good recommendation.

Scenario 10

After signing for the case of oranges and package of assorted cheese, Craig Denton watched the UPS truck pull away. As he read the attached card, he recalled a discussion with the ring company representative that took place last summer, and remembered being asked whether his family enjoyed oranges and cheese during the Christmas holidays. At the time, the question seemed to be nothing more than the salesman's effort at casual conversation. Now it was evident there was a specific purpose.

Discussion

Seven principals viewed the offer of gifts by representatives of companies as a typical situation encountered by administrators. However, one participant indicated that this one time prevalent practice had not been a problem during this four years as a secondary school principal.

Of the six respondents who believed most principals would accept the items, one observed,

> This type of behavior on the part of people we do business with is common; it's almost ingrained and traditional. The people who supply schools with services and goods do this commonly as a matter of business. I do not think this type of gift compromises any principal in his effort to make decisions in the best interest of the school. But, if you take apples, oranges or a bottle of liquor, where does that lead to?

TABLE 13

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1	M3-P	M8-P,O	M8-P	M3-S M8-S
2	E3-O M8-P,Pr E8-P,Pr		M3-P,Pr E3-P,Pr	E3-P,Pr
3		M3-S		
4		E3-S		
5			E8-P,Pr	
6		E8-P,O		
7				E8-Pr,O
8				
9				

Scenario 10 - Reaping the Benefits - Principals' Responses

1. Accept the oranges and cheese.
2. Refuse receipt of the items.
3. Accept the oranges and cheese but say nothing about it.
4. Recognize this as a common business practice, and accept the items as a simple courtesy extended by the sales representative.
5. Accept the items, but bring them to school and share them with the staff.
6. Call the vendor and ask him to come and pick up the gift items.
7. Let the oranges and cheese sit and rot.

Scenario 11

One of the items on Ed Kirsch's desk requiring immediate attention was the awarding of the contract to the photography company to take student pictures. Traditionally the sale of student pictures was an important fund raising effort for the school. In each of the past two years, profits realized by the school amounted to 50% of the total sales. However with the steady rise in the price of student pictures, Ed wondered if he should eliminate or reduce the school's profit margin to bring down student cost or maintain the same contractual arrangement that was in effect.

Discussion

In a situation regarded by each participant as representative of what they experience, a common theme echoed by seven of the principals revolved around the need to raise funds for the operation of school programs. The views expressed by two of the principals seen to reflect their position.

> The principal is saddled with the necessity to raise funds for the operation of the school. And this is expected of him in many ways by the superintendent and the Board even though they might disclaim it publicly. The budget speaks more eloquently than the rhetoric here, and so the principal realizes he is operating an educational institution and that pictures are simply a service students must pay for... Indeed, if we were not expected to raise funds, we would not be in the business of picture taking at all.

> It would depend on their need for funds. There are some very strict budgetary constraints that would leave a person in a situation where financially they have to make a decision that would ultimately effect student services. And so by reducing the amount of money that would be accessible, they might be able to assist students, but they might have to reduce student services.

TABLE 14

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1		E8-S,P		
2		E3-P,Pr		
3	M8-O,P E8-O		M3-P,Pr E3-P M8-P E8-P	M3-O E3-Pr,O
4				E8-Pr
5	E3-Pro			
6	M3-P	M3-O M8-S		M8-P,Pr
7				
8				
9				

Scenario 11 - Funding the Program - Principals' Responses

1. Determine whether the cost of pictures is unreasonable for the community; if the cost is too high, reduce the price or eliminate picture sales.

2. Eliminate the sale of pictures as a fund raising activity.

3. Base their decision on the financial ability of the school to continue operating its programs.

4. Try to be fair to the students by refusing to raise prices.

5. Reduce the cost of pictures to the students by having the school and the photographer cut their profit margins

6. Retain the same contractual arrangement.

Scenario 12

During the past two years, the staff at A.S. Lewis High School has been awarded a state grant to develop innovative materials in a program designed to address dropouts. Principal, Karl Randall has been invited to make a presentation to an urban school conference. Expenses will be paid, and an honorarium of $150.00 has been guaranteed for his services.

Discussion

Although none of the participants had been in this situation, each one regarded it as representative of what a principal might encounter. While four of the principals believed the ethical action would be for the individual to accept the honorarium, three of the remaining four respondents attached conditions to the acceptance of a payment for professional services being rendered.

Even for one of the participants who stated that the ethical position would be to accept the payment, there seemed to be some second thoughts when he said, "Accepting money from a lot of sources is in conflict with what I've been taught regarding the ideals of service to the community and the profession".

TABLE 15

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1		E8-O,P		
2	M3-P E3-P M8-Pr,O E8-Pr,O	M3-Pr E3-Pr M8-O,P	M8-P,Pr E8-P,Pr	
3			M3-P,Pr E3-P,Pr	
4				E8-P,Pr
5				M3-O,P E3-O,P M8-P,Pr
6				
7				
8				
9				

Scenario 12 - Sharing the Wealth - Principal's Responses

1. Base their decision upon existing policies of their school division.
2. Accept the honorarium.
3. Refuse the honorarium.
4. Accept the honorarium, but apply it to the school project.
5. Accept payment for personal expenses, but refuse the honorarium.

Scenario 13

Ralph Jenkins listened intently as Carol Fowler, a P.E. teacher described the bruises she saw on one of her tenth grade students during class. Carol explained that when she took the student into her office after class, the girl broke down and revealed that her father would frequently become enraged and beat her.

As principal, Ralph knew the family; it hardly seemed possible the situation being described could be true. The mother was active in community affairs, and the father held a district manager's position with an insurance firm.

As he considered the information, Ralph recalled a recent TV special on child abuse which reported that in 75% of the cases studied there was no proof of abuse. Furthermore, the stigma of being reported and having an investigation made by Social Services severely damaged many innocent families.

Discussion

Each respondent identified this as a typical issue faced by school administrators. However, there was a difference between the positions of principals from large and small school divisions.

While principals from large divisions agreed that potential child abuse allegations would be reported to Social Services for investigation, two of the four administrators from small divisions felt most principals would contact the student's parents to discuss the allegations. One of them indicated the ethical action should also be to contact the parents and based his decision on the fact that "the principal was a friend to the parent involved".

TABLE 16

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1	M11-O,P E11-O,P	E9-O	M4-Pr E4-Pr M9-Pr E9-Pr	M4-O E4-O M9-Pr E9-Pr
2		E4-P M9-S		
3		M4-S		
4	M4-S,P E4-S,P			
5				
6				
7				
8				
9				

Scenario 13 - Crisis Control - Principals' Responses

1. Report the situation immediately to the Department of Social Services for their investigation.

2. Contact the parents to explain the allegation, and determine if there was a need for further investigation.

3. After speaking with the student, contact her parents to arrange a conference.

4. Conduct a discrete investigation in the school, and report the matter to Social Services, if the facts warrant such action.

Scenario 14

With the conclusion of the spring sports season only a month away, Bill Atwell, principal of Bradley High School, learns that previous principals had hosted a "beer bust" at their homes for the coaching staffs and athletic boosters. It seems this annual event has become a traditional way of showing appreciation to everyone for their efforts in directing and supporting the sports program.

Discussion

In a scenario that each participant regarded as representative of issues faced by secondary school administrators, six of them indicated that principals would honor the established tradition and host the "beer bust" at their homes.

While four of the respondents believed it would be ethical to host a non-alcoholic party, the principals from the large, complex school divisions maintained the ethical action would be to continue hosting the annual affair. In an interesting reply, one of them commented,

> Traditions are a very important part of schools. In my school, there is traditionally a faculty party at the end of the school year. It's hosted at someone's home... and the administrative team... they generally furnish liquid refreshments... It's more or less a social type of thing... it's something that's been in place fourteen years; I did not change that... A couple of the new people this year... questioned me about it, and I explained, it is something that has been done here, and under the present conditions, I am not going to change it... I wouldn't have any trouble if a new principal came in and did not want to be affiliated with this type of activity. I think you'd probably get mixed reviews from a faculty.

TABLE 17

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1	M4-P,Pr E4-P,Pr	M4-S	M4-P M9-P,Pr	M4-P,S E4-P M9-P E9-P
2		E4-P,Pr E9-S	E4-S E9-P	
3	M11-P E11-P	M9-S		
4				
5				
6				
7				
8				
9				

Scenario 14 - Capping Off the Year - Principals' Responses

1. Follow the tradition, and host the annual event.

2. Host an event to recognize the efforts of the coaches and boosters without any alcoholic beverages.

3. Make the decision to continue or end the traditional event based on whether it was in their best interest and necessary to contribute to the harmonious operation of the school.

Scenario 15

As a result of the past two administrative staff meetings, Fred Markham, principal of Ventura High School, has become aware of the School Board's concern over teacher groups raising questions at Board meetings regarding a newly proposed merit pay plan and a revised teacher evaluation system. Comments from the superintendent have made it clear the Board views some principals as not being in control of their schools.

In his last staff meeting, Fred informed the teachers that he believed their presence at school board sessions adversely affected their position and recommended they consider the pros and cons of attending the meetings.

Planning the agenda for his next staff meeting, Fred considers how to approach the situation regarding the Board's position.

Discussion

While each participant acknowledged this scenario portrayed a real situation in the life of a principal, one respondent from a large complex school division captured the views expressed when she commented,

> In this county you would get a variety of responses. Some would sit down with teachers and tell them they don't appreciate that kind of action. If you want to give your concerns to the Board, you need to figure out a better way to do it. I am not sure they'd give a lot of advice as to how to do it. Another group would probably just let it go. I think you've got a third group, and I think I probably fall in that group. I don't perceive that my teachers going to a school board meeting and voicing concerns is in any way a reflection of my not being able to control my school... We are moving toward teacher empowerment. We are telling teachers we have expectations for them... I think we're sending the message that we want you to be professionally responsible. I guess the approach I would take is I would get the group in and tie some of this voicing to the Board into professionalism... I would like to sit down with them and do some real soul searching... I am not going to direct a teacher not to appear at a

Scenario 15 - Discussion Continued:

Board... I think some principals, who have been around for sometime would probably tend to be maybe more heavy handed. I think it's a better decision if you've got more people involved, and it's a collaborative decision.

TABLE 18

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1	M4-Pr,O E4-Pr,O			
2			M4-O	
3		M4-P	E4-P	M9-Pr E9-Pr
4	M11-Pr E11-Pr			E4-Pr
5		E9-Pr		
6			M9-Pr E9-Pr	
7		E4-P,Pr		
8		M9-P		
9				M4-Pr

Scenario 15 - Divided Loyalty - Principals' Responses

1. Explain to the staff their activities at the school board meetings were hurting them.

2. Adopt the position of the superintendent and school board, and encourage teachers to avoid attending school board meetings.

3. Maintain the position teachers have a right to attend board meetings and present their concerns.

4. Work with the teachers in a collaborative way to be sure they have accurate information, and assist them to utilize school channels in a more positive way to transmit their concerns.

Table 18 - Scenario 15 Continued:

5. Say nothing to the teachers; let them express themselves freely.

6. Work through the local teachers' association, and arrange for one or two teachers to attend school board meetings to represent the group.

7. Inform the teachers they have a right to attend school board meetings, but request them to avoid raising any issues and to act in a professional manner.

8. Express to the teachers their actions at board meetings are not appreciated and could jeopardize their positions.

9. Recognize teachers are professional and work with them to connect professionalism with the manner in which they address concerns to the school board.

Scenario 16

The newspaper headlines jumped out at Brenda Roberts, principal of Orrion High School. "Citizen Group Demands Removal of High School Social Studies Series: ACLU Threatens Legal Action if Series Removed".

Although the event described was in another section of the country and her school was not using the textbook series under fire, Brenda was sensitive to the fact that this publicity could encourage local groups to question textbooks and other materials used in the educational program.

In previous conversations with her librarian, Brenda had discussed the issue of censorship and the type of general guidelines that should be followed in selecting materials for use in the school.

She wondered if this might be a good time to begin a review of media center materials in an effort to identify and pull from circulation "questionable" items.

Discussion

In a scenario regarded by each participant as descriptive of an issue school administrators could face, the remarks of three principals regarding the ethical action that should be taken proved to be most interesting.

One of the principals from a small, complex division voiced the opinion that professionally it is important to review materials used in educating students. However from his point of view, censoring items could become a routine matter employed to prevent controversies. As he concluded, "I don't believe in censorship, and if it's not absolutely one hundred percent filth, let it alone. If you don't want to read it, don't read it".

From another viewpoint, a principal of a large, simple division stated,

Scenario 16 - Discussion Continued:

> I think... censorship is carried a bit too far in the schools. I don't think we should examine whether or not the items are questionable as long as they have some educational value... I've seen some items... that I would remove because they're questionable as to their educational value.

However, the comments from another participant from a small, complex division provided a very different perspective,

> I believe that if a book or any material is brought to the attention of the principal, he's obligated to look into it, and if it is offensive to good social standards, then I think he's obligated to take the book out of circulation... When I say the social standard, I'm talking about the vulgarities we just don't want to see, the four letter words. I don't think anyone wants to see those. The people that use them wouldn't want to see it in our written materials that all students read... We may be a little more liberal but not that liberal. So, I think the thing to do is get rid of it.

TABLE 19

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1				M9-Pr E9-Pr
2	E11-O		M9-S	
3		E9-Pr		
4			E4-Pr	
5		M4-P,Pr E4-P,S M9-O	M4-S	
6			E9-Pr,S	
7	M4-O E4-O M11-O			M4-Pr,O E4-O,Pr
8				
9				

Scenario 16 - Censorship and Community Standards - Principals' Responses

1. Continue normal school operation until an item is challenged.
2. Base selection of materials upon knowledge of the community standards and the area served by the school.
3. Avoid any action that could be construed as censorship.
4. Base the selection of materials upon their educational value without permitting undue influence from censors.
5. Initiate a review of media center materials, and remove any items deemed to be questionable.
6. Establish a committee of staff members to review materials and determine whether the items are suitable.
7. Follow the school division's policies on the selection of materials and the procedures to be used when items are challenged.

Scenario 17

Although the accreditation standards require that principals spend a minimum of 40% of their time in the supervision of instruction and curriculum development, Harold Collier realizes his personal schedule falls short of the requirement. The state accreditation report which each school submits annually must be signed by the district superintendent and requires the principal to cite as deficiencies any standards that are not being met.

Discussion

Not only did the principals addressing this situation agree it was an issue to be dealt with by school administrators, but six of the eight respondents believed most principals would report they were meeting the accreditation standard.

In many respects the sentiments expressed by a principal from a small, urban high school revealed some of the frustration felt in attempting to meet the requirement to devote forty percent of your time to the supervision of instruction and curriculum development.

> I feel like most principals would probably go ahead and check it as spending forty percent of their time. However, I feel like, if you are in a situation where you can't spend the required amount of time doing curriculum and instruction, you should be willing to be cited for that deficiency... Your cheating the instructional program, if you don't. In my instance, in this system here, that's one of the problems that's gone lacking - the fact there has not been enough emphasis on instruction and supervision.
> In schools under 1,200, it's particularly difficult meeting that standard because you have so many other things to address, and this is not an area that you can get around to in a normal day, especially if you've got a school that has discipline problems.

TABLE 20

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1	M10-Pr E10-Pr			E5-P,Pr
2		E5-P		
3	E5-P	E10-P	M5-O E5-O E12-P	E10-P
4	M5-S	M5-O M10-P	M12-O	M5-Pr M10-O
5				
6				
7				
8				
9				

Scenario 17 - Standard Reporting - Principals' Responses

1. Inform the superintendent they are unable to meet the 40% requirement, and request additional assistance to meet job responsibilities.

2. Work with state department personnel to establish flexible percentage figures which take into account particular circumstances in each school.

3. Report they were unable to meet the standard, and request assistance to meet the 40% requirement.

4. Report they were meeting the standards.

Scenario 18

Pulling out of the parking lot, Don Havens glanced at the car clock - a few minutes after ten. In his mind flashed the countless re-runs of similar late evenings at school. From football and basketball games to concerts and an endless variety of meetings, something seemed to be scheduled two or three nights a week.

With only two weeks of school remaining, Don began to look forward to the annual State Secondary Principals' Conference. Expenses were paid by the school district, and it was always a relaxing event, with plenty of time to socialize and catch up on any "news".

In the first few conferences, Don found the sessions to be of limited value. Since then, his usual pattern has been to pre-register for a presentation in each time block but only attend two or three of the general sessions that featured more noted speakers.

Discussion

The respondents agreed this was a typical situation they encountered, and each one believed that principals have an ethical duty to attend conference sessions.

In acknowledging that most principals would use the occasion to relax and socialize, one of the participants commented that he had seen this type of behavior while attending a variety of school related conferences. Then he offered the observation that the conduct of veteran principals was a significant influence upon new administrators.

Reflecting upon the issue from a different perspective, another principal indicated that the quality of the speakers on the program made a real difference. As she remarked, "those of us in the business, who have been to these and know some of the speakers, pick and choose and decide to golf and

Scenario 18 - Discussion Continued:

socialize and go to Potomac Mills".

Finally, a principal with fifteen years in the principalship displayed some annoyance with the behavior of his colleagues by noting,

> The behavior of some principals at these type of conferences is frequently less than desirable. It's getting to be a thing that's more and more social. It's job hunting with vendors there trying to do their thing. Principals should attend conference sessions and be required to sign in, to log in and have to be accountable for their presence.

TABLE 21

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1			M5-Pr	
2	M10-P,Pr			
3		M5-S M10-Pr	M12-Pr	M5-P,S
4	M5-Pr E5-Pr E10-P	E5-P E10-Pr	E5-Pr,O E12-O	E5-S,Pr M10-Pr E10-P,Pr
5				
6				
7				
8				
9				

Scenario 18 - Time Out - Principal's Responses

1. Attend all of the sessions; bring back materials for other administrators, and make a report to the superintendent.

2. Refuse to attend the conference as a means of having some time for socializing and relaxing, and use earned vacation time for that purpose.

3. Use the time to relax, socialize and make connections rather than attempt to attend many of the sessions.

4. Attend the conference and participate in the sessions for which they have pre-registered as well other presentations that may be beneficial to them and their school.

Scenario 19

As principal of Sandridge High School, Stan Seward makes it a policy to avoid the teachers' lounge which has become a cauldron of gossip and invective in matters including student discipline, parental interest and school board leadership.

Discussion

Participants viewed this as a representative situation facing principals. Six of them felt most principals would avoid the teachers' lounge, while the remaining two perceived that principals would make it a practice to be in and around the lounge as part of their normal routine.

There was a sense of agreement in the belief that schools should be places where the faculty could openly discuss problems and concerns with the administration. Four of the respondents expressed the position that administrators need to develop a productive, personal relationship with the staff so issues could be freely examined. However, they also pointed out that the principal must be aware of the negative, destructive tone that can exist in a lounge, and be prepared to intervene. As one remarked,

> If I am going to be a role model, I must be in a position to be supportive of my employer, the Board... I constantly have to get on the staff here about things they say in the community, things they say at school. Teachers frequently lack the professional criteria to be called professionals. Encourage teachers... to constructively work on issues and help students. Have professionals be professional.

Scenario 19 - Discussion Continued:

Two principals from the small, simple school divisions saw the lounge as a natural place for teachers to "let off steam and vent their frustrations". They did not convey a feeling of being under attack from the lounge, but took the stance that the principal needed to be a part of what was happening in the lounge.

> You know teachers... are going to learn to trust you better, and you're going to feel better about them, if you can go in and... have an open dialogue with them. I've been in the teachers' lounge at the time I was an assistant principal and since, and I've never known them to stop talking when I've come in... I believe in open dialogue with teachers, and that they should be included in decision making. They've got to know how you feel. They've got to be a part of you and you've got to be a part of them. We're in this thing together.

TABLE 22

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1	M10-P			M10-P,Pr E10-Pr,P
2		E5-Pr		
3	M5-O	M5-P M10-P,Pr	M5-P M12-S	M5-P
4			E5-Pr E12-Pr,P	
5	E10-Pr	E10-P,Pr		
6	E5-Pr,P			E5-Pr,O
7				
8				
9				

Scenario 19 - What You Don't Know... - Principals' Responses

1. Make it a practice to be a visible presence in and around the lounge without spending a great deal of time there.

2. Make the faculty aware that you view this type of conduct as being destructive to the school and its purposes.

3. Avoid the teachers' lounge.

4. Maintain an open door policy, and develop a climate which encourages the staff to discuss situations with you as they occur.

5. Utilize in-service programs and portions of faculty meetings to work with teachers on adopting more professional and constructive attitudes and behaviors.

6. Visit the lounge; be a part of teacher discussions, and openly talk about their concerns.

7. Use the master schedule to separate teachers who tend to gossip.

Scenario 20

Davis Forbes began to feel a little more relaxed; the interview seemed to be going well. On matters of curriculum development, teacher evaluation and community involvement there appeared to be a good mesh between the Board's position and his practicing philosophy. District goals for the coming year were progressive and realistic, and Davis felt the situation at the high school was ideal for his type of "involved" leadership.

Then in a tone of voice that seemed more personal and confidential, the Board Chairman described a situation regarding a high school staff member that would require immediate attention. As principal, would he direct his initial efforts toward the dismissal of this individual?

Discussion

The final scenario, also, presented a situation that respondents identified as being characteristic of issues encountered in the principalship. It is interesting to note the almost unanimous agreement among the participants concerning what most principals would do and what the ethical action should be.

Despite recognizing the unfairness in agreeing to initiate dismissal proceedings, the principals felt the desire for the job would have the greatest influence upon the decision. In this regard, the most telling comment on the issue came from a principal in a small, complex division.

> I've gone through this a few times in my life. Sometimes, the day comes when you have to bite the bullet and do what the organization wants. I like three meals a day, and that's the way it is with the full understanding it's not personal. There but for the grace of God, someday it will be my turn. It's there; it's prevalent; boards of education are fickle, and they change. I've seen some of the most effective teachers in a building targeted because

Scenario 20 - Discussion Continued:

they stepped on someone's toes. I've been called in by the superintendent and been told that he and the board of education want someone to go. It's either him or you; it's that simple.

TABLE 23

SCHOOL DIVISION CLASSIFICATION

RESPONSES	Small Simple	Small Complex	Large Simple	Large Complex
1	E5-Pr,P E10-Pr,O	E5-P	E5-Pr E12-Pr,S	E5-Pr,O E10-Pr
2			M5-Pr	
3	M5-O M10-Pr,O	M5-O M10-O E10-Pr,O	M12-Pr	M5-P
4				M10-Pr
5				
6				
7				
8				
9				

Scenario 20 - Principal/Principle - Principals' Responses

1. Inform the board chairman that once on the job they would have to investigate the situation prior to committing to a specific course of action.

2. Base their answer on the degree to which they wanted the position.

3. Agree to initiate the dismissal proceedings.

4. Enter into a discussion with the Board to determine if there was sufficient documentation upon which to build a case for dismissal.

CHAPTER V

Reflections and Recommendations

In concluding this study, some reflections and recommendations are presented. Although the goals of examining how principals respond to ethical issues in decision making and developing materials for use in the preparation of practicing and potential principals were accomplished, this dissertation represents simply another beginning in the effort to present ethics as a relevant topic in the training of educators.

The belief that ethics should be an essential component in educational administration programs has been confirmed by my experience in using the primer to conduct workshops (August 5 and 14, 1990) for the administrative staffs of two public school divisions in Virginia. In those sessions, seventeen out of thirty-two administrators indicated they were unaware a professional code of ethics existed. The discussions generated during the presentation of six of the scenarios were stimulating, open and reflective of certain ethical viewpoints. Consider the comments of one of the participants in reacting to writing a recommendation for a marginal teacher,

> I can't answer in terms of what most principals would do. But, in terms of, ... what I have done in the past and probably would again, I'm not going

> to outright lie to somebody in writing a recommendation. I may, however, couch it in terms so that if he's not pretty perceptive, ... he'll think that's a better recommendation than I wrote. That may be unethical, but ... I've either done that or come pretty close. And, I'm going to be happy, if the person gets the job. But you know, you're really dealing with a career. You know it's a marginal teacher. It's not one that's totally unacceptable. And suppose, I write a letter that says no don't hire that person; then that may be unethical too.
> And of course, you've got it further complicated which shouldn't be a factor but probably is ... I would write it one way, if the principal of the receiving school is a friend, or a colleague or an acquaintance. And, I'd write it another way, if I could get the person off to a stranger ... I think that's an interesting kind of question, and I'm not really sure what's ethical and what's unethical, when you put in that marginal category.

These remarks led to further discussion regarding the responsibilities of a principal in working to improve the performance of a marginal teacher and the desirability of restricting written comments on a recommendation form in favor of using the telephone to communicate concerns.

In another situation, participants agreed the accreditation standard that principals spend at least forty percent of their time in the supervision of instruction and curriculum development was more burdensome than helpful. However, rather than initiate efforts to make a change in the mandate, several stated they interpreted the standard more liberally and were comfortable indicating the requirement was being met. The workshop sessions presented a forum where

colleagues were able to share perceptions and risk confronting issues openly.

These illustrations along with the study reflect the need for further examination regarding ethics and school administration and the following recommendations are offered for consideration and review:

1. Survey the educational administration departments of colleges and universities to determine whether ethics is part of their preparation program.
2. Include ethics as part of the curriculum in the preparation of educational administrators.
3. Interview the executive directors of professional organizations who have adopted the AASA Code of Ethics to determine if revisions are necessary and how the code can be utilized to promote ethics in the profession.

Greater exposure to ethics and related standards of the profession can lead educational administrators to be aware that,

> Every member of a profession carries a responsibility to act in a manner becoming a professional person. This means that each school administrator has an inescapable obligation to abide by the ethical standards of his profession. The

> behavior of each is the concern of all. The conduct of any administrator influences the attitude of the public toward the profession and education in general (AASA Code of Ethics, 1966, p.3).

With that awareness, administrators will be in a better position to understand that the effectiveness of any organization is intimately connected with the moral quality of its leadership. As Chester Barnard (1945) observed,

> Thus the endurance of the organization depends upon the quality of leadership; and that quality derives from the breadth of the morality upon which it rests ... A low morality will not sustain leadership long ... (p. 26).

CHAPTER VI

Ethics in Education

Introduction

The primary purpose of this primer is to bring to each reader an awareness of ethics and a heightened sensitivity to ethical decision-making in education. However, it must be clearly stated the intent is not to provide the "correct answers" but to present materials to stimulate the examination and discussion of ethical issues.

For many the issue of ethics began to crystallize with the Iran-Contra affair and the theme of "plausible deniability" that emerged during the Congressional hearings. On the heels of this event came a barrage of revelations which seemed to undermine the basic elements of trust in human relations and confidence in leadership. Recall, for example, (1) the Savings and Loan scandal; (2) the host of Congressmen under investigation by ethics committees; (3) the highly questionable fund raising practices of some television evangelists; (4) the policy of racial discrimination at many private clubs in America; (5) the controversy over the "right to life" for the unborn and the aged; (6) the continuing revelations of insider trading and fraud on Wall Street; (7) the questions being raised over the intention and effect of

grouping and tracking systems used by many public elementary and secondary schools; (8) the issue of steroids at all levels of athletic competition; (9) the provision of medical care for the poor, the indigent, the homeless; (10) the accounts of professional athletes unable to read despite having graduated from a university; (11) the fiasco over cold fusion; and (12) the debate over political campaign funding and the "buying of Congress".

Certainly incidents have not been limited to America's shores as evidenced by (1) Japan's political embarrassment over the resignations of Prime Ministers Takeshita and Uno; (2) the expanding dilemma over cutting the Rain Forest; (3) West Germany's battle with pollution and a strong industrial economy; and (4) the changing face of Communism with continuous news accounts describing the system's past atrocities and its efforts to use greater openness to create economic reform and political opportunity for the masses. The litany could go on and on. For these and other events have sparked a renewed interest in the examination of ethical and appropriate behavior (conduct) exercised by those in positions of leadership.

For educators, the issue of ethical conduct and appropriate behavior in accordance with established standards has never been more critical. The wave of reform reports with

their emphasis upon the deficiencies of our system of public education and the failure of educators to respond appropriately and effectively to the academic needs of students and the economic needs of the nation has resulted in an intense scrutiny of American education and its leadership. With each publication, confidence in the system and regard for its practitioners is eroded.

Although the focus on ethics over the years has shifted from keen interest to perfunctory recognition, it now appears society and the professions may again be intent on addressing the issues of ethical behavior and professional standards. In this regard, the preamble to the AASA Code of Ethics states:

> Public schools prosper to the extent they merit the confidence of the people. In judging its schools, society is influenced to a considerable degree by the character and quality of their administration. Society demands that any group that claims the rights, privileges, and status of a profession prove itself worthy through establishment and maintenance of ethical policies governing the activities of its members. A professional society must demonstrate the capacity and willingness to regulate itself and to set appropriate guides for the ethical conduct of its members (Knezevich in Immegart & Burroughs, 1970, p. 17).

Within this reality of present conditions and future potentialities resides the school principal. Much of the recent reform literature has identified the principal as the single individual who has the necessary position, authority

and opportunity to restore confidence in public education by insuring that schools respond effectively with the changes necessary to improve educational programs. However, principals must become aware of the possible consequences any reform movement may have upon their behavior. If reform becomes their central focus, convenience can override caution and judgment in the selection of the means to achieve the desired ends. Principals must view education as the process that teaches what is of value "in a morally acceptable manner" (Peters, 1967, p. 3). In addition, they must recognize that ethics represents conscious action taken because it is viewed as being correct; in short, it is what a person ought to do voluntarily (Phenix, 1964, p. 215; Berkson, 1968, p. 237).

In public elementary and secondary schools, numerous situations exist, which have the potential to test the ethical predisposition of school administrators. Among them are issues as diverse as school prayer, the placement of children in special education programs, the observation and evaluation of teachers, the emphasis upon excellence as represented by increased percentile scores on state-wide standardized achievement tests, fund raising activities designed to support a variety of school functions and measures taken to meet Standards of Quality and Accreditation mandates. Each of these issues represent typical areas in which principals must

make frequent decisions, and yet despite legal requirements, mandates, regulations, basic program expectations and established policy, these issues are handled differently within schools in a division as well as between school divisions. The question of prayer in the public schools has been answered through a series of court rulings, notably the Supreme Court decisions in School District of Abington Township vs. Schempp and Murray vs. Curlett; yet in some schools and classrooms prayer occurs routinely. The concepts of free and appropriate public education, least restrictive environment and an individualized plan (IEP) are all fully explicated in the Education for All Handicapped Act (PL 94-142) and clarified in Supreme Court decisions rendered in the Hendrick Hudson District Board of Education v. Rowley and Irving Independent School District v. Tatro cases; yet in some schools, changes in the placement of children are made unilaterally, and parental involvement is regarded more as interference than an established right.

The improvement of instruction through a well defined and implemented program of classroom observation and teacher evaluation appears to be a common objective in most school divisions, and yet practices by some school principals would lead one to conclude that observation and evaluation policies are merely paper requirements to be met by filing the required

evaluation forms before the due date. Some schools have resorted to teaching the test in order to respond to the pressures for improved student performance. Student academic achievement has become a major priority as evidenced by the emphasis placed upon standardized test scores, curriculum revision, restructuring and teacher preparation.

The responsibility of the state and localities to finance the operation of the public schools is broadly accepted. In many schools fund raising is a substantial venture, and relationships between vendors and school principals are designed to increase revenues through an assortment of arrangements which insure the return of profits to the school through the sale of items from student pictures to flower bulbs, citrus fruits, magazines and yearbooks.

Procedures to insure compliance with state mandates and federal regulations include a number of self-regulatory reporting measures. However, on-site reviews frequently uncover glaring discrepancies between what school divisions report and what review teams find as practice.

Within each of these areas and a host of others, school administrators make decisions daily. These decisions are driven by personal, societal, professional and/or organizational ethic standards and have the potential for conflict with legal rulings, state laws, federal regulations,

societal expectations, professional standards and/or school board policy. Are actions taken the result of deliberate choices to ignore the law, ignorance of the law, a belief their position is above the law, the following of orders, a feeling they are doing what is expected (the Poindexter phenomenon), the fact no one has complained or a conscious, voluntary effort to take the action viewed as being correct?

This primer has been designed to examine some of these decisions through a series of scenarios which present situations principals may encounter. The scenarios are accompanied by suggestions for group use, and the format which follows may be employed to provide a consistent framework for discussion. In addition, a specific reaction question has been written for each scenario.

Discussion Framework

1. Provide students with the following list of terms and their definitions (Transparency A in Appendix D):
   a. Ethical behavior - Conscious action taken because it is viewed as being correct; it is what a person ought to do voluntarily (Phenix, 1964, p. 215; Berkson, 1968, p. 237).
   b. Personal ethic standards - Those standards which have been adopted and developed by an individual to

guide and direct behavior (Immegart & Burroughs, 1970, p. 93).

c. Societal ethic standards - Those standards which are the norms or values which essentially govern the behavior of members of society (Immegart & Burroughs, 1970, p. 93).

d. Professional ethic standards - The values, codes and expectations which guide the behavior of members of the profession (Immegart & Burroughs, 1970, p. 93).

e. Organizational ethic standards - The policies and regulations of the institution employing the individual (Immegart & Burroughs, 1970, p. 93).

2. Instruct students to read a scenario and write their responses to these questions (Transparency B in Appendix D):

a. What do you believe most principals would do in the situation presented?

b. What ethic standard do you believe would have the greatest influence in driving the principal's decision?

c. What do you believe the ethical action of the principal should be in this situation?

d. Have you encountered a situation similar to this in your professional career? Are you aware of others

who have?

3. Appendix A contains a sample of alternate suggestions which may be used to examine each scenario.
4. Appendix B presents the responses to each scenario given by principals in a recent study which may be used in a variety of ways to stimulate group discussion.
5. Appendix C includes the codes of ethics for a number of professional organizations and provides a source for expanding discussion and examining how the profession has addressed ethics.

Scenarios

1. **Devotion to Duty** (Transparency 1, Appendix D)

   Walking through the second floor corridor on his way to the office, Chuck Osborne paused by Gladys Newman's homeroom and heard her reading the "thought for the day". Appointed high school principal three years ago, Chuck has been aware that Gladys includes in her daily homeroom period the reading of a devotional and a moment for silent prayer.

2. **Determining Priorities** (Transparency 2, Appendix D)

   As administrators in their school, Bob Hagy or Diane Bradshaw are expected to be present during eligibility and/or placement meetings of students being considered for special education programs and services.

   With the increasing demands on their time and the unpredictable nature of their schedules, Bob and Diane meet to devise a procedure to be used when they are unable to attend one of the meetings.

3. **The Final Say** (Transparency 3, Appendix D)

   Stacy Vickers has maintained an "A" average throughout her high school career. However, a grade of "C" in her final exam in Mathematics Analysis resulting in a final course grade of "B" has brought complaints from Stacy and her parents. They contend the exam was unfair and

resulted in most pupils receiving a final grade that was at least one letter grade below the average maintained for the year.

In presenting their case to the principal, the Vickers' indicate that unless some immediate action is taken to raise Stacy's grade, they will bring the issue before the school board and seek legal advice.

4. **Mixing Business with Business** (Transparency 4, Appendix D)

Phil Layne, principal of Brighton High School, has always had the reputation of being a "go-getter". From the beginning of his teaching career, Phil has always sought ways to make additional income through part-time enterprises.

Now as an authorized insurance representative, he wonders if he can tap into this potential clientele of school staff and school organizations.

5. **The Right to Know** (Transparency 5, Appendix D)

Since becoming principal at Newtown High School, Tom Prentice is convinced he needs a reliable source of information in order to understand the issues dividing the staff from the administration and arrive at some potential solutions.

Two months of listening, observing and conferencing have brought little in the way of useful information. Aware that a group of five teachers usually meet daily in a small teacher conference room during a common planning period, Tom considers using the intercom system in his office to listen to their conversations.

6. **A Matter of Degree** (Transparency 6, Appendix D)
Ever since beginning a doctoral program, Roger Edmonds has found free time to be at a premium. Evenings and weekends seem to be consumed by studying and meeting course requirements. However, with a slight schedule revision for the office staff, Roger realizes he can free up some time for one of the secretaries to be available to type course research papers and other writing assignments.

7. **Pursuing Excellence** (Transparency 7, Appendix D)
Albert Davilla, principal of Edgemont High School, is aware of the excellent reputation Carol Martin has as a Physics teacher at Triton High School. With Physics teachers being a rare commodity and excellent ones an almost endangered species, he debates whether he should use a mutual friend in an effort to encourage Mrs. Martin to seek employment at Edgemont.

8. **Reputation at Stake** (Transparency 8, Appendix D)

Dave Radison hung up the phone. He was stunned by the call from his longtime friend and former colleague, Ellis Hudson. What seemed to be a promising career move for Ellis as principal of a new middle school in a rapidly growing school district across the state had suddenly been shattered. Married and the father of two teenage daughters, Ellis had been involved in an affair with one of his teachers. When called to the school board office and confronted with the situation by the Superintendent and Board Chairman, Ellis acknowledged his indiscretion and was given the opportunity to resign or face dismissal proceedings. As Ellis had explained, the choice to resign seemed to be the only way to salvage some part of his career. With his resignation effective in a matter of days, Ellis was calling to confidentially explain his position and seek some assistance.

Would Dave go to bat for him if he applied for the assistant principal's position that was coming open in Dave's school?

9. **An Opportunity to Unload** (Transparency 9, Appendix D)

When approached by his German teacher for a recommendation as a foreign language teacher in another school district, Bill Phillips examines his options from

two perspectives. Not only does he view the teacher's job performance as marginal but he is a professional acquaintance of the principal at the high school for whom the recommendation will be written.

10. **Reaping the Benefits** (Transparency 10, Appendix D)

After signing for the case of oranges and package of assorted cheese, Craig Denton watched the UPS truck pull away. As he read the attached card, he recalled a discussion with the ring company representative that took place last summer, and remembered being asked whether his family enjoyed oranges and cheese during the Christmas holidays.

At the time, the question seemed to be nothing more than the salesman's effort at casual conversation. Now it was evident there was a specific purpose.

11. **Funding the Program** (Transparency 11, Appendix D)

One of the items on Ed Kirsch's desk requiring immediate attention was the awarding of the contract to the photography company to take student pictures.

Traditionally the sale of student pictures was an important fund raising effort for the school. In each of the past two years, profits realized by the school amounted to 50% of the total sales.

However with the steady rise in the price of student pictures, Ed wondered if he should eliminate or reduce the school's profit margin to bring down student cost or maintain the same contractual arrangement that was in effect.

12. **Sharing the Wealth** (Transparency 12, Appendix D)

During the past two years, the staff at A. S. Lewis High School has been awarded a state grant to develop innovative materials in a program designed to address dropouts. Principal Karl Randall has been invited to make a presentation to an urban school conference. Expenses will be paid, and an honorarium of $150 has been guaranteed for his services.

13. **Crisis Control** (Transparency 13, Appendix D)

Ralph Jenkins listened intently as Carol Fowler, a P. E. teacher described the bruises she saw on one of her tenth grade students during class. Carol explained that when she took the student into her office after class, the girl broke down and revealed that her father would frequently become enraged and beat her.

As principal, Ralph knew the family; it hardly seemed possible the situation being described could be true. The mother was active in community affairs, and the father held a district manager's position with an

insurance firm.

As he considered the information, Ralph recalled a recent TV special on child abuse which reported that in 75% of the cases studied there was no proof of abuse. Furthermore, the stigma of being reported and having an investigation made by Social Services severely damaged many innocent families.

14. **Capping Off the Year** (Transparency 14, Appendix D)

With the conclusion of the spring sports season only a month away, Bill Atwell, principal of Bradley High School, learns that previous principals had hosted a "beer bust" at their homes for the coaching staffs and athletic boosters.

It seems this annual event has become a traditional way of showing appreciation to everyone for their efforts in directing and supporting the sports program.

15. **Divided Loyalty** (Transparency 15, Appendix D)

As a result of the past two administrative staff meetings, Fred Markham, principal of Ventura High School, has become aware of the School Board's concern over teacher groups raising questions at Board meetings regarding a newly proposed merit pay plan and a revised teacher evaluation system. Comments from the superintendent have made it clear the Board views some

principals as not being in control of their schools.

In his last staff meeting, Fred informed the teachers that he believed their presence at school board sessions adversely affected their position and recommended they consider the pros and cons of attending the meetings.

Planning the agenda for his next staff meeting, Fred considers how to approach the situation regarding the Board's position.

16. **Censorship and Community Standards** (Transparency 16, Appendix D)

The newspaper headlines jumped out at Brenda Roberts, principal of Orrion High School. "Citizen Group Demands Removal of High School Social Studies Series: ACLU Threatens Legal Action if Series Removed."

Although the event described was in another section of the country and her school was not using the textbook series under fire, Brenda was sensitive to the fact that this publicity could encourage local groups to question textbooks and other materials used in the educational program.

In previous conversations with her librarian, Brenda had discussed the issue of censorship and the type of general guidelines that should be followed in selecting materials for use in the school. She wondered if this might be a

good time to begin a review of media center materials in an effort to identify and pull from circulation "questionable" items.

17. **Standard Reporting** (Transparency 17, Appendix D)

Although the accreditation standards require that principals spend a minimum of 40% of their time in the supervision of instruction and curriculum development, Harold Collier realizes his personal schedule falls short of the requirement.

The state accreditation report which each school submits annually must be signed by the district superintendent and requires the principal to cite as deficiencies any standards that are not being met.

18. **Time Out** (Transparency 18, Appendix D)

Pulling out of the parking lot, Don Havens glanced at the car clock--a few minutes after ten. In his mind flashed the countless reruns of similar late evenings at school. From football and basketball games to concerts and an endless variety of meetings, something seemed to be scheduled two or three nights a week.

With only two weeks of school remaining, Don began to look forward to the annual State Secondary Principals' Conference. Expenses were paid by the school district, and it was always a relaxing event, with plenty of time

to socialize and catch up on any "news".

In the first few conferences, Don found the sessions to be of limited value. Since then, his usual pattern has been to preregister for a presentation in each time block but only attend two or three of the general sessions that featured more noted speakers.

19. **What You Don't Know . . .** (Transparency 19, Appendix D)
As principal of Sandridge High School, Stan Seward makes it a policy to avoid the teachers' lounge which has become a cauldron of gossip and invective in matters including student discipline, parental interest and school board leadership.

20. **Principal/Principle** (Transparency 20, Appendix D)
Davis Forbes began to feel a little more relaxed; the interview seemed to be going well. On matters of curriculum development, teacher evaluation and community involvement there appeared to be a good mesh between the Board's position and his practicing philosophy. District goals for the coming year were progressive and realistic, and Davis felt the situation at the high school was ideal for his type of "involved" leadership.

Then in a tone of voice that seemed more personal and confidential, the Board Chairman described a situation regarding a high school staff member that would require

immediate attention. As principal, would he direct his initial efforts toward the dismissal of this individual?

Appendix A

Alternate Suggestions

1. **Devotion to Duty**

   Should community standards and expectations influence the principal's course of action?

2. **Determining Priorities**

   Use the memo which follows on page 111 to discuss the situation.

3. **The Final Say**

   Discuss this scenario from the perspective of how the school board should deal with it. Review the Code of Ethics for school board members in Appendix C.

4. **Mixing Business with Business**

   Are you aware of situations in which teachers or administrators use the schools and contacts there in order to sell items they make or the products of companies they represent? If so, are their actions proper?

5. **The Right to Know**

   Does the principal's need to know ever justify an invasion of privacy?

6. **A Matter of Degree**

   Write a defense of this use of office staff to be presented to the superintendent.

To: Bob
From: Diane
Subject: Special Education
Referrals and Eligibility
Date: Tuesday, April 9

With the way things are coming at us, I wonder if the "grand planner" did not intend to have 32 hour days.

Nevertheless, we're stuck with 24 and I'm really concerned over the number of eligibility, placement and I E P meetings we are facing.

We need to meet! How about coming in early Thursday? I'll get a couple of biscuits from Hardee's, and we can decide how to handle our schedules, particularly in the event neither of us can attend a meeting.

7. **Pursuing Excellence**

   Assuming principals have an obligation to secure the most competent teacher for their schools, does the NASSP Statement of Ethics limit recruitment efforts?

8. **Reputation at Stake**

   How would you view this situation if Ellis Hudson's indiscretion involved the misappropriation of school funds?

9. **An Opportunity to Unload**

   How can the principal best handle his obligations to the teacher, the students and the principal for whom the recommendation will be written?

10. **Reaping the Benefits**

    Is it permissible for a school administrator to accept a gift? If so, from whom and under what conditions?

11. **Funding the Program**

    Should schools be permitted to engage in fund raising projects? If so, how should the funds be used, and what type of projects would be acceptable?

12. **Sharing the Wealth**

    Use the letter which follows on page 113 to generate discussion.

Roger V. Davis, Chairman
The Regional Urban School Coalition

A. S. Lewis High School
Portsmouth, Virginia 22568

Dear :

For the past five years, the Regional Urban School Coalition has been sponsoring an annual conference to examine the issue of school dropouts and recognize innovative programs dealing with "at risk" youth.

The conference selection committee has recommended the dropout prevention program of A. S. Lewis High School be recognized. Consequently, I am pleased to invite you to make a presentation to the 6th Annual Regional Urban School Conference to be held February 12-14, ____ at the Summit Plaza Hotel. Your complete expenses will be paid along with an honorarium of $150.00.

Please let our office know by letter on or before September 15, ____ if you can join us for a refreshing and stimulating conference.

Sincerely,

Roger V. Davis
Chairman

RD/SP

13. **Crisis Control**

If the principal elected to delay contacting Social Services and conduct an investigation to determine whether there was any substance to the student's allegation, what should the P.E. teacher do?

14. **Capping Off the Year**

When a school staff holds a social gathering, should alcoholic beverages be served?

15. **Divided Loyalty**

Examine this scenario in light of standard three of the ethics statement adopted by NAESP, NASSP and AASA.

16. **Censorship and Community Standards**

How should community standards effect the selection of educational materials?

17. **Standard Reporting**

Is the 40% requirement reasonable? Do you believe most principals achieve this standard? What effect do you think this standard has upon the improvement of instruction?

18. **Time Out**

This pattern of attending conferences primarily as a means to relax and socialize appears to violate standard nine of the NASSP Statement of Ethics. Should a principal's failure to comply with this standard result

in some kind of professional sanction?

19. **What You Don't Know . . .**

Does this situation present a real ethical dilemma for the principal or should he be concerned with more important matters?

20. **Principal/Principle**

During the study six of eight principals responding to this situation indicated most individuals would agree to initiate dismissal proceedings. Do you agree with their view?

Appendix B

Principals' Responses to the Scenarios

SCENARIO 1. Devotion to Duty

1. Conduct a private conference with the teacher, and direct her to discontinue the practice of having devotionals or moments for silent prayer during the school day.

2. Talk with the teacher to determine the nature of the material being used.

3. Ignore the situation until someone complains or a problem develops.

4. Direct the teacher to examine her practice so she does not have a problem if someone questions the homeroom activities.

5. Inform the teacher she could have the moment of silent prayer but would not be permitted to read the devotional aloud.

6. Encourage the teacher to use a thought for the day that was not religious in nature.

7. Develop a written policy detailing what is permissible with regard to homeroom exercises.

8. Immediately stop the exercise and make a written record of it.

SCENARIO 2. Determining Priorities

1. Arrange for one of the administrators to attend the meetings.

2. Delegate the responsibility of attending the meetings to school guidance personnel.

3. Have one of the administrators present unless an emergency situation or extenuating circumstance prevents their attendance.

4. Permit no meeting to be conducted unless the appropriate individuals are present.

5. Allow the special education personnel to conduct the meetings and inform the administrators of the action taken.

SCENARIO 3. The Final Say

1. Thoroughly investigate the situation by securing information from the parents, student and teacher; arrange a meeting among them in order to make an informed, reasoned decision at the building level.

2. Investigate the matter and after arriving at a decision inform the parents and teacher.

3. Maintain a position of support for the teacher and inform the parents the situation would be examined and a decision rendered.

4. Request the parents to arrange a conference with the teacher as the initial step in resolving the issue.

5. Intervene on behalf of the parents and require the grade to be changed.

6. Make whatever arrangements are necessary in order to resolve the problem and prevent it from going to the school board.

7. Support the right of the teacher to determine student grades.

SCENARIO 4. Mixing Business with Business

1. Keep this type of business venture separate from their schools. Avoid this type of practice.

2. Request permission from the superintendent to submit bids on items purchased by the school division.

SCENARIO 5. The Right to Know

1. Avoid using the intercom system to listen to teacher conversations.

2. Elect to use the intercom on a few occasions to see if the information obtained can be helpful (would be useful).

3. Bring the staff together in a meeting and openly discuss the perceived problems.

4. Meet with the five teachers individually or as a group to seek their assistance.

5. Establish a relationship with one or more teachers who will report information to the principal.

SCENARIO 6. A Matter of Degree

1. Have the secretary prepare personal items as time permits.

2. Refuse to have the secretary perform work of a personal nature.

3. Employ the secretary outside of regular working hours, and compensate her for the work done.

4. Utilize business students to perform the typing during free periods.

5. Request the secretary to work some additional hours after school or on the weekend.

6. Arrange the schedule to have the secretary available to do some typing and pay her for any work done.

7. Secure permission from the superintendent to utilize the secretary for personal work completed during school time.

SCENARIO 7. Pursuing Excellence

1. Contact the teacher's principal, and request permission to talk with her.

2. Refuse to make any arrangements to contact the teacher.

3. Wait until the teacher makes the first contact.

4. Avoid direct contact, but make arrangements to have the teacher informed about the position.

5. Inform the principal you will be in contact with his teacher regarding the possibility of employment in your school.

6. Let the teacher know you are interested in her, but request that she speak with her principal first.

7. Contact teachers only if they are outside your school division.

8. Have their superintendent contact the superintendent of the other school division to seek permission to contact the teacher.

9. Make direct contact with the teacher to sell your school, and see if she would be interested in applying.

10. Seek out the teacher for employment even to the point of offering to assist her husband obtain a position.

SCENARIO 8. Reputation at Stake

1. Do all they could to help him obtain the position.

2. Inform Dave you would like to assist him, but you must talk with your superintendent to explain the situation and get his approval.

3. Offer him your assistance to get a job in the area outside of education.

4. Tell Dave they would not be able to assist him to obtain the position.

5. Try to discourage Dave from applying without directly indicating their position.

6. Assist him to find a position in another school system where they have some contacts.

SCENARIO 9. An Opportunity to Unload

1. Agree to provide a recommendation that would be lukewarm in nature.

2. Discuss their recommendation with the teacher, and let the teacher decide whether or not to use them as a reference.

3. Write a letter of recommendation that highlights the teacher's positive characteristics but does not misrepresent the teacher's performance.

4. Refuse the teacher's request for a recommendation.

5. Write a letter recommendation without revealing its content to the teacher.

6. Provide an accurate recommendation that details the

overall performance of the teacher.

7. Inform the teacher they would not be able to provide a good recommendation.

8. Use this as an opportunity to improve their staff by writing a good recommendation.

SCENARIO 10. Reaping the Benefits

1. Accept the oranges and cheese.

2. Address the issue of gifts while negotiating the contract, and make it clear they are not to be offered.

3. Accept the items and donate them to a food bank or other worthy group.

4. Refuse receipt of the items.

5. Accept the oranges and cheese but say nothing about it.

6. Recognize this as a common business practice, and accept the items as a simple courtesy extended by the sales representative.

7. Accept the items, but bring them to school and share them with the staff.

8. Call the vendor and ask him to come and pick up the gift items.

9. Let the oranges and cheese sit and rot.

10. Accept the items, but notify the vendor gifts are not expected and will not be accepted in the future.

SCENARIO 11. Funding the Program

1. Obtain yearly bids, and award the picture contract to the lowest bidder.

2. Determine whether the cost of pictures is unreasonable for the community; if the cost is too high, reduce the price or eliminate picture sales.

3. Maintain the same percentage profits for pictures while seeking other fund raising measures to provide revenue for school programs.

4. Eliminate the sale of pictures as a fund raising activity.

5. Base their decision on the financial ability of the school to continue operating its programs.

6. Try to be fair to the students by refusing to raise prices.

7. Reduce the cost of pictures to the students by having the school and the photographer cut their profit margins.

8. Retain the same contractual arrangement.

9. Continue the contract and inform students and parents of the profit earned through picture sales.

10. Maintain the contract, but discuss the issue of fund raising and the need for a higher level of funding with the superintendent and school board.

SCENARIO 12. Sharing the Wealth

1. Base their decision upon existing policies of their school division.

2. Accept the honorarium.

3. Refuse the honorarium.

4. Accept the honorarium, but apply it to the school project.

5. Accept payment for personal expenses, but refuse the honorarium.

SCENARIO 13. Crisis Control

1. Arrange counseling for the student to help her deal with the situation.

2. Report the situation immediately to the Department of Social Services for their investigation.

3. Contact the parents to explain the allegations and determine if there was a need for further investigation.

4. After speaking with the student, contact her parents to

arrange a conference.

5. Conduct a discrete investigation in the school, and report the matter to Social Services, if the facts warrant such action.

6. Have several staff members meet with the student independently to see if her story continues to be the same and has any merit.

7. Assign the teacher, guidance counselor or assistant principal to further investigate the situation and bring back a report.

SCENARIO 14. Capping Off the Year

1. Follow the tradition, and host the annual event.

2. Arrange for an outside agency as a sporting goods firm or other business to sponsor the function.

3. Desire to end the tradition but continue it for fear of being criticized.

4. Host an event to recognize the efforts of the coaches and boosters without any alcoholic beverages.

5. Make the decision to continue or end the traditional event based on whether it was in their best interest and necessary to contribute to the harmonious operation of the school.

SCENARIO 15. Divided Loyalty

1. Establish an advisory panel for teachers through which their concerns could be discussed and transmitted through the principal and superintendent to the school board.

2. Explain to the staff their activities at the school board meetings were hurting them.

3. Inform the teachers they are not to attend school board meetings.

4. Adopt the position of the superintendent and school board, and encourage teachers to avoid attending school board meetings.

5. Maintain the position teachers have a right to attend

board meetings and present their concerns.

6. Work with the teachers in a collaborative way to be sure they have accurate information, and assist them to utilize school channels in a more positive way to transmit their concerns.

7. Say nothing to the teachers; let them express themselves freely.

8. Work through the local teacher's association, and arrange for one or two teachers to attend school board meetings to represent the group.

9. Inform the teachers they have a right to attend school board meetings, but request them to avoid raising any issues and act in a professional manner.

10. Express to the teachers their actions at board meetings are not appreciated and could jeopardize their positions.

11. Recognize teachers are professional, and work with them to connect professionalism with the manner in which they address concerns to the school board.

SCENARIO 16. Censorship and Community Standards

1. Continue normal school operation until an item is challenged.

2. Base selection of materials upon knowledge of the community standards and the area served by the school.

3. Avoid any action that could be construed as censorship.

4. Base the selection of materials upon their educational value without permitting undue influence from censors.

5. Initiate a review of media center materials, and remove any items deemed to be questionable.

6. Remove any questionable materials; place them on a reserve list and have them reviewed by a screening committee.

7. Establish a committee of staff members to review materials and determine whether the items are suitable.

8. Follow the school division's policies on the selection

of materials and the procedures to be used when items are challenged.

9. Talk with the superintendent to find out how the school board would want the situation to be handled.

10. Form a committee to review materials and permit parents to select alternative items, if they disagree with certain portions of the curriculum.

SCENARIO 17. Standard Reporting

1. Inform the superintendent they are unable to meet the 40% requirement, and request additional assistance to meet job responsibilities.

2. Work with state department personnel to establish flexible percentage figures which take into account particular circumstances in each school.

3. Report they were unable to meet the standard, and request assistance to meet the 40% requirement.

4. Report they were meeting the standards.

5. Note the standard as being met on the accreditation report, but discuss the situation with the superintendent and seek assistance in meeting the requirement.

SCENARIO 18. Time Out

1. Attend all of the sessions; bring back materials for other administrators, and make a report to the superintendent.

2. Plan their attendance in concert with the superintendent, and select those sessions that would relate to division objectives.

3. Refuse to attend the conference as a means of having some time for socializing and relaxing, and use their earned vacation time for that purpose.

4. Use the time to relax, socialize and make connections rather than attempt to attend many of the sessions.

5. Attend the conference and participate in the sessions for which they have pre-registered as well as other presentations that may be beneficial to them and their

school.

SCENARIO 19. What You Don't Know . . .

1. Make it a practice to be a visible presence in and around the lounge without spending a great deal of time there.

2. Frequently visit the lounge, and spend long periods of time.

3. Make the faculty aware that you view this type of conduct as being destructive to the school and its purposes.

4. Avoid the teachers' lounge.

5. Maintain an open door policy, and develop a climate which encourages the staff to discuss situations with you as they occur.

6. Utilize in-service programs and portions of faculty meetings to work with teachers on adopting more professional and constructive attitudes and behaviors.

7. Visit the lounge; be a part of teacher discussions, and openly talk about their concerns.

8. Use the master schedule to separate teachers who tend to gossip.

SCENARIO 20. Principal/Principle

1. Inform the board chairman that once on the job they would have to investigate the situation prior to committing to a specific course of action.

2. Agree to the board chairman's request, but once on the job insist upon needing time to investigate the issue.

3. Base their answer on the degree to which they wanted the position.

4. Discuss the issue with the Board and encourage them to make a decision regarding the individual's dismissal prior to their employment.

5. Agree to initiate the dismissal proceedings.

6. Enter into a discussion with the Board to determine if there was sufficient documentation upon which to build

a case for dismissal.

7. Explain to the board chairman that despite how he sees the situation, the request could compromise the position of the new principal and violate the rights of the high school staff member.

Appendix C

Code of Ethics

Statement of Ethics

An educational administrator's professional behavior must conform to an ethical code. The code must be idealistic and at the same time practical, so that it can apply reasonably to all educational administrators. The administrator acknowledges that the schools belong to the public they serve for the purpose of providing educational opportunities to all. However, the administrator assumes responsibility for providing professional leadership in the school and community. This responsibility requires the administrator to maintain standards of exemplary professional conduct. It must be recognized that the administrator's actions will be viewed and appraised by the community, professional associates, and students. To these ends, the administrator subscribes to the following statements of standards.

The educational administrator:

1. Makes the well-being of students the fundamental value in all decision making and actions.
2. Fulfills professional responsibilities with honesty and integrity.
3. Supports the principle of due process and protects the civil and human rights of all individuals.
4. Obeys local, state, and national laws and does not knowingly join or support organizations that advocate, directly or indirectly, the overthrow of the government.
5. Implements the governing board of education's policies and administrative rules and regulations.

6. Pursues appropriate measures to correct those laws, policies, and regulations that are not consistent with sound educational goals.

7. Avoids using positions for personal gain through political, social, religious, economic, or other influence.

8. Accepts academic degrees or professional certification only from duly accredited institutions.

9. Maintains the standards and seeks to improve the effectiveness of the profession through research and continuing professional development.

10. Honors all contracts until fulfillment or release.

This Statement of Ethics was developed by a task force representing the National Association of Secondary School Principals, National Association of Elementary School Principals, American Association of School Administrators, Association of School Business Officials, American Association of School Personnel Administrators, and National Council of Administrative Women in Education.

--Approved by NASSP Board of Directors, November 1973.

Code of Ethics of the Education Profession

Preamble

The educator, believing in the worth and dignity of each human being, recognizes the supreme importance of the pursuit of truth, devotion to excellence, and the nurture of democratic principles. Essential to these goals is the protection of freedom to learn and to teach and the guarantee of equal educational opportunity for all. The educator accepts the responsibility to adhere to the highest ethical standards.

The educator recognizes the magnitude of the responsibility inherent in the teaching process. The desire for the respect and confidence of one's colleagues, of students, of parents, and of the members of the community provides the incentive to attain and maintain the highest possible degree of ethical conduct. The Code of Ethics of the Education Profession indicates the aspiration of all educators and provides standards by which to judge conduct.

The remedies specified by the NEA and/or its affiliates for the violation of any provision of this Code shall be exclusive and no such provision shall be enforceable in any form other than one specifically designated by the NEA or its affiliates.

PRINCIPLE I - Commitment to the Student

The educator strives to help each student realize his or her potential as a worthy and effective member of society. The educator therefore works to stimulate the spirit of inquiry, the acquisition of knowledge and understanding, and the thoughtful formulation of worthy goals.

In fulfillment of the obligation to the student, the educator--

1. Shall not unreasonably restrain the student from independent action in the pursuit of learning.
2. Shall not unreasonably deny the student access to varying points of view.
3. Shall not deliberately suppress or distort subject matter relevant to the student's progress.
4. Shall make reasonable effort to protect the student from conditions harmful to learning or to health and safety.
5. Shall not intentionally expose the student to embarrassment or disparagement.
6. Shall not on the basis of race, color, creed, sex, national origin, marital status, political or religious beliefs, family, social or cultural background, or sexual orientation, unfairly--
   a. Exclude any student from participation in any program.
   b. Deny benefits to any student.
   c. Grant any advantage to any student.
7. Shall not use professional relationships with students for private advantage.
8. Shall not disclose information about students obtained in the course of professional service, unless disclosure serves a compelling professional purpose or is required by law.

PRINCIPLE II - Commitment to the Profession

The education profession is vested by the public with a trust and responsibility requiring the highest ideals of professional service.

In the belief that the quality of the services of the education profession directly influences the nation and its citizens, the educator shall exert every effort to raise professional standards, to promote a climate that encourages the exercise of professional judgment, to achieve conditions which attract persons worthy of the trust to careers in education, and to assist in preventing the practice of the profession by unqualified persons.

In fulfillment of the obligation of the profession, the educator--

1. Shall not in an application for a professional position deliberately make a false statement or fail to disclose a material fact related to competency and qualifications.
2. Shall not misrepresent his/her professional qualifications.
3. Shall not assist any entry into the profession of a person known to be unqualified in respect to character, education, or other relevant attribute.
4. Shall not knowingly make a false statement concerning the qualifications of a candidate for a professional position.
5. Shall not assist a noneducator in the unauthorized practice of teaching.
6. Shall not disclose information about colleagues obtained in the course of professional service unless disclosure serves a compelling professional purpose or is required by law.
7. Shall not knowingly make false or malicious statements about a colleague.
8. Shall not accept any gratuity, gift, or favor that might impair or appear to influence professional decisions or action.

--Adopted by 1975 Representative Assembly, National Education Association.

Code of Ethics

For School Board Members

AS A MEMBER OF MY LOCAL SCHOOL BOARD OF EDUCATION I WILL STRIVE TO IMPROVE PUBLIC EDUCATION, AND TO THAT END I WILL:

Uphold and enforce all laws, state board rules and regulations, and court orders pertaining to schools;

Attend all regularly scheduled board meetings insofar as possible, and become informed concerning the issues to be considered at those meetings;

Make decisions in terms of the educational welfare of children and seek to develop and maintain public schools which meet the individual needs of all children regardless of their ability, race, creed, sex, or social standing;

Confine my board action to policymaking, planning, and appraisal and help to frame policies and plans only after the board has consulted those who will be affected by them;

Carry out my responsibility, not to administer the schools, but, together with my fellow board members, to see that they are well administered;

Encourage the free expression of opinion by all board members, and seek systematic communications between the board and students, staff, and all elements of the community;

Recognize that authority rests with the board of education and make no personal promises nor take any private action which may compromise the board;

Refuse to surrender my independent judgment to special interest or partisan political groups or to use the schools for personal gain or for the gain of friends;

Inform myself about current educational issues by individual study and through participation in programs providing needed information, such as those sponsored by my state and national school boards associations;

Hold confidential all matters pertaining to the schools, which, if disclosed, would needlessly injure individuals or the schools, but in all other matters, will provide accurate information and, in concert with my fellow board members,

interpret to the staff the aspirations of the community for its schools;

Support the employment of the best qualified personnel available and insist on a regular and impartial evaluations of all staff;

Support and protect school personnel in the proper performance of their duties;

Refer all complaints to the chief school administrator and act on such complaints at public meetings only after failure of an administrative solution.

_____ _____

Board Member Signature Date

Virginia School Boards Association

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APPENDICES

APPENDIX A: Interview Script

Field Test - Interview Script

I. I am asking your assistance in helping me field test a survey and series of four scenarios I have developed for use in my dissertation.

II. If it is all right with you, I would like to tape the interview so I may have an accurate record that will help me analyze the data as it is collected. Please be aware this discussion is strictly confidential and no value judgments are being made regarding your comments.

III. Before I begin the taped portion, I would like you to complete this survey. If you have any questions, I'll be happy to answer them.
(During this part, note any questions and the explanations. After the survey is completed, hand the interviewee the first scenario; ask them to read it and let you know when they are finished.
When finished reading the scenario, turn on the tape recorder and explain that you want them to respond to three questions involving the scenario.)

IV. Questions (Place responses on Interview Notes Form)

1. What do you believe most principals would do in this situation?

2. Thinking about what you believe most principals would do, which one of the following ethic standards would have the greatest influence upon the decision?

Personal ethic standards are those which have been adopted and developed by an individual to guide and direct behavior.

Societal ethic standards are the norms or values which essentially govern the behavior of members of society.

Professional ethic standards are the values, codes and expectations which guide the behavior of members of the profession.

Organizational ethic standards are the policies and regulations of the institution employing the

individual.

3. Is this situation representative of what a principal might encounter?

4. What do you believe the ethical action of the principal should be? What ethic standard would have the greatest influence?

5. Are you aware of any different ways in which principals have handled a similar situation?

V. I want to thank you for your assistance and the insights you have provided in this phase of the study.

APPENDIX B: Principal Survey Form

Secondary School Principal Survey

Directions: Please provide the following information by circling the number of the appropriate choice or by writing your response in the blank provided.

1. What is your gender?

   (01) Male (02) Female

2. What is your age as of January 1, 1988? _____

3. With which ethnic group would you identify yourself?

   (01) White
   (02) Black, not Hispanic
   (03) Hispanic
   (04) American Indian/Alaskan Native
   (05) Asian/Pacific Islander
   (06) Other: _____

4. Including this school year, how many years have you served as a secondary school principal?

   _____

5. Including this school year, how many years have you served as principal in your present school?

   _____

6. How many students are enrolled in your school? _____

7. How many students are enrolled in your school district? _____

8. How many high schools are in your school district? _____

9. What is the grade or organizational structure of your school?

   (01) K-12
   (02) 6-12
   (03) 7-12
   (04) 8-12
   (05) 9-12
   (06) 10-12
   (07) Other _____

10. How would you characterize the community your school serves?

(01) Rural (02) Suburban (03) Urban

11. What is your current salary? Do not include fringe benefits.

(01) less than $30,000
(02) $30,000-34,999
(03) $35,000-39,999
(04) $40,000-44,999
(05) $45,000-49,999
(06) $50,000-54,999
(07) $55,000-59,999
(08) $60,000 or more

12. Did the undergraduate college or university you attend have a religious affiliation?

(01) Yes (02) No (03) Do not know

13. In what field(s) of study did you major as an undergraduate?

_____

14. Did your undergraduate program of study include a course or courses in ethics?

(01) Yes (02) No

If yes, indicate the course title or titles to the best of your recollection.

_____

_____

15. What graduate degree(s) have you earned? Circle all that apply.

(01) Master's Degree in Education
(02) Master's Degree not in Education
(03) Educational Specialist
(04) Certificate of Advanced Graduate Study
(05) Doctor of Education
(06) Doctor of Philosophy
(07) Other:_____

16. In what field(s) of study did you major as a graduate?

_____

17. Did your graduate program of study include a course or courses in ethics?

(01) Yes (02) No

If yes, indicate the course title or titles to the best of your recollection.

_____

_____

18. Do you consider yourself to be an active member of a religious denomination?

(01) Yes (02) No

19. In which of the following state level professional organizations do you currently hold membership? Circle all that apply.

(01) Virginia Association of Secondary School Principals
(02) Virginia Association of School Administrators
(03) Virginia Association for Supervision and Curriculum Development
(04) Other: _____

20. In which of the following national professional organizations do you currently hold membership? Circle all that apply.

(01) National Association of Secondary School Principals
(02) American Association of School Administrators
(03) Association for Supervision and Curriculum Development
(04) Other: _____

21. Do any of the professional organizations to which you belong have a written Code of Ethics?

(01) Yes (02) No (03) Do not know

If yes, have you read the Code of Ethics?

(01) Yes (02) No

If yes, do you believe the code is helpful in guiding professional decision-making?

(01) Yes (02) No

22. Without revealing the identity of any individual involved, please describe a situation you have encountered during your professional career in which ethical considerations played a part in your decision.

_____

_____

_____

_____

_____

_____

_____

_____

Thank you for completing this survey; your assistance is extremely important in developing a greater understanding of the role of the principal.

To maintain confidentiality, this portion of the survey will be removed from your responses above.

If you would like to have an abstract of the results of this study, please indicate your name and mailing address below.

_____

_____

_____

APPENDIX C: Interview Notes

Interview Notes

Date_____ FT_____

Scn_____

1. What do you believe most principals would do in this situation?

2. Thinking about what you believe most principals would do, which one of the following ethic standards would have the greatest influence upon the decision?

_____Personal _____Professional
_____Societal _____Organizational

3. Is this situation representative of what a principal might encounter?

_____Yes _____No

4. What do you believe the ethical action of the principal should be?

5. What ethic standard would have the greatest influence?

_____Personal _____Professional
_____Societal _____Organizational

6. Are you aware of any different ways in which principals have handled a similar situation? Please describe.

_____

_____

_____

_____

APPENDIX D: Scenarios

Scenarios

1. Walking through the second floor corridor on his way to the office, Chuck Osborne paused by Gladys Newman's homeroom and heard her reading the "thought for the day".
   Appointed high school principal three years ago, Chuck has been aware that Gladys includes in her daily homeroom period the reading of a devotional and a moment for silent prayer.

2. As administrators in their school, Bob Hagy or Diane Bradshaw are expected to be present during eligibility and/or placement meetings of students being considered for special education programs and services.
   With the increasing demands on their time and the unpredictable nature of their schedules, Bob and Diane meet to devise a procedure to be used when they are unable to attend one of the meetings.

3. Stacy Vickers has maintained an "A" average throughout her high school career. However, a grade of "C" in her final exam in Mathematics Analysis resulting in a final course grade of "B" has brought complaints from Stacy and her parents. They contend the exam was unfair and resulted in most pupils receiving a final grade that was at least one letter grade below the average maintained for the year.
   In presenting their case to the principal, the Vickers' indicate that unless some immediate action is taken to raise Stacy's grade, they will bring the issue before the school board and seek legal advice.

4. Phil Layne, principal of Brighton High School, has always had the reputation of being a "go-getter". From the beginning of his teaching career, Phil has always sought ways to make additional income through part-time enterprises.
   Now as an authorized AMWAY representative, he wonders if he can tap into this potential clientele of school staff and school organizations.

5. Since becoming principal at Newtown High School, Tom Prentice is convinced he needs a reliable source of information in order to understand the issues dividing the staff from the administration and arrive at some potential solutions.

Two months of listening, observing and conferencing have brought little in the way of useful information. Aware that a group of five teachers usually meet daily in a small teacher conference room during a common planning period, Tom considers using the intercom system in his office to listen to their conversations.

6. Ever since beginning a doctoral program, Roger Edmonds has found free time to be at a premium. Evenings and weekends seem to be consumed by studying and meeting course requirements. However, with a slight schedule revision for the office staff, Roger realizes he can free up some time for one of the secretaries to be available to type course research papers and other writing assignments.

7. Albert Davilla, principal of Edgemont High School, is aware of the excellent reputation Carol Martin has as a Physics teacher at Triton High School. With Physics teachers being a rare commodity and excellent ones an almost endangered species, he debates whether he should use a mutual friend in an effort to encourage Mrs. Martin to seek employment at Edgemont.

8. Dave Radison hung up the phone. He was stunned by the call from his longtime friend and former colleague, Ellis Hudson. What seemed to be a promising career move for Ellis as principal of a new middle school in a rapidly growing school district across the state had suddenly been shattered. Married and the father of two teenage daughters, Ellis had been involved in an affair with one of his teachers. When called to the school board office and confronted with the situation by the Superintendent and Board Chairman, Ellis acknowledged his indiscretion and was given the opportunity to resign or face dismissal proceedings. As Ellis had explained, the choice to resign seemed to be the only way to salvage some part of his career. With his resignation effective in a matter of days, Ellis was calling to confidentially explain his position and seek some assistance.
Would Dave go to bat for him if he applied for the assistant principal's position that was coming open in Dave's school?

9. When approached by his German teacher for a recommendation as a foreign language teacher in another school district, Bill Phillips examines his options from two perspectives. Not only does he view the teacher's job performance as marginal, but he is a professional acquaintance of the principal at the high school for whom the recommendation will be written.

10. After signing for the case of oranges and package of assorted cheese, Craig Denton watched the UPS truck pull away. As he read the attached card, he recalled a discussion with the ring company representative that took place last summer, and remembered being asked whether his family enjoyed oranges and cheese during the Christmas holidays. At the time, the question seemed to be nothing more than the salesman's effort at casual conversation. Now it was evident there was a specific purpose.

11. One of the items on Ed Kirsch's desk requiring immediate attention was the awarding of the contract to the photography company to take student pictures. Traditionally the sale of student pictures was an important fund raising effort for the school. In each of the past two years, profits realized by the school amounted to 50% of the total sales. However with the steady rise in the price of student pictures, Ed wondered if he should eliminate or reduce the school's profit margin to bring down student cost or maintain the same contractual arrangement that was in effect.

12. During the past two years, the staff at A.S. Lewis High School has been awarded a state grant to develop innovative materials in a program designed to address dropouts. Principal, Karl Randall has been invited to make a presentation to an urban school conference. Expenses will be paid, and an honorarium of $150.00 has been guaranteed for his services.

13. Ralph Jenkins listened intently as Carol Fowler, a P.E. teacher described the bruises she saw on one of her tenth grade students during class. Carol explained that when she took the student into her office after class, the girl broke down and revealed that her father would frequently become enraged and beat her.

As principal, Ralph knew the family; it hardly seemed possible the situation being described could be true. The mother was active in community affairs, and the father held a district manager's position with an insurance firm.
As he considered the information, Ralph recalled a recent TV special on child abuse which reported that in 75% of the cases studied there was no proof of abuse. Furthermore, the stigma of being reported and having an investigation made by Social Services severely damaged many innocent families.

14. With the conclusion of the spring sports season only a month away, Bill Atwell, principal of Bradley High School, learns that previous principals had hosted a "beer bust" at their homes for the coaching staffs and athletic boosters.
It seems this annual event has become a traditional way of showing appreciation to everyone for their efforts in directing and supporting the sports program.

15. As a result of the past two administrative staff meetings, Fred Markham, principal of Ventura High School, has become aware of the School Board's concern over teacher groups raising questions at Board meetings regarding a newly proposed merit pay plan and a revised teacher evaluation system. Comments from the superintendent have made it clear the Board views some principals as not being in control of their schools.
In his last staff meeting, Fred informed the teachers that he believed their presence at school board sessions adversely affected their position and recommended they consider the pros and cons of attending the meetings.
Planning the agenda for his next staff meeting, Fred considers how to approach the situation regarding the Board's position.

16. The newspaper headlines jumped out at Brenda Roberts, principal of Orrion High School. "Citizen Group Demands Removal of High School Social Studies Series: ACLU Threatens Legal Action if Series Removed".
Although the event described was in another section of the country and her school was not using the textbook series under fire, Brenda was sensitive to the fact that this publicity could encourage local

groups to question textbooks and other materials used in the educational program.
In previous conversations with her librarian, Brenda had discussed the issue of censorship and the type of general guidelines that should be followed in selecting materials for use in the school.
She wondered if this might be a good time to begin a review of media center materials in an effort to identify and pull from circulation "questionable" items.

17. Although the accreditation standards require that principals spend a minimum of 40% of their time in the supervision of instruction and curriculum development, Harold Collier realizes his personal schedule falls short of the requirement.
The state accreditation report which each school submits annually must be signed by the district superintendent and requires the principal to cite as deficiencies any standards that are not being met.

18. Pulling out of the parking lot, Don Havens glanced at the car clock - a few minutes after ten. In his mind flashed the countless re-runs of similar late evenings at school. From football and basketball games to concerts and an endless variety of meetings, something seemed to be scheduled two or three nights a week.
With only two weeks of school remaining, Don began to look forward to the annual State Secondary Principals' Conference. Expenses were paid by the school district, and it was always a relaxing event, with plenty of time to socialize and catch up on any "news".
In the first few conferences, Don found the sessions to be of limited value. Since then, his usual pattern has been to pre-register for a presentation in each time block but only attend two or three of the general sessions that featured more noted speakers.

19. As principal of Sandridge High School, Stan Seward makes it a policy to avoid the teachers' lounge which has become a cauldron of gossip and invective in matters including student discipline, parental interest and school board leadership.

20. Davis Forbes began to feel a little more relaxed; the interview seemed to be going well. On matters of curriculum development, teacher evaluation and community involvement there appeared to be a good mesh between the Board's position and his practicing philosophy. District goals for the coming year were progressive and realistic, and Davis felt the situation at the high school was ideal for his type of "involved" leadership.

Then in a tone of voice that seemed more personal and confidential, the Board Chairman described a situation regarding a high school staff member that would require immediate attention. As principal, would he direct his initial efforts toward the dismissal of this individual?

APPENDIX E: Pilot Test Summary

Pilot Test Summary

Scenarios 1-1/1-4

1-1 Walking through the second floor on his way to the office, Chuck Osborne paused by Gladys Newman's homeroom and heard her reading the "thought for the day".

Appointed high school principal three years ago, Chuck has been aware that Gladys includes in her daily homeroom period the reading of a devotional and a moment for silent prayer.

Most principals would:

PT1. Ignore the situation. (S)

PT2. Discuss with the teacher and inform her that actions must be within the law. (Pro)

PT3. Directly stop the process and make a written record of it. (O)

PT4. Wait until the first objection; then stop the process. (S)

PT5. Avoid the situation; wait until it is brought to the principal's attention.(Per & S)

Most ethical action would be:

PT1. Have teacher refrain from using religious materials.

PT2. Insure teacher is operating within the law.

PT3. Not allow this situation to occur.

PT4. Tactfully bring this to the teacher's attention

PT5. Talk with teacher in a non-threatening way to point

out that we must work within regulations. Encourage her to keep the "thought for the day" using non-religious materials.

1-2 As administrators in their school, Bob Hagy or Diane Bradshaw are expected to be present during eligibility and/or placement meetings of students being considered for special education programs and services. With the increasing demands on their time and the unpredictable nature of their schedules, Bob and Diane meet to devise a procedure to be used when they are unable to attend one of the meetings.

Most principals would:

PT1. Intend to be present but absent self if an emergency arose. (O)

PT2. Arrange for one of them to be present. (O)

PT3. Get out of the meetings; arrange for a designee to attend. (O)

PT4. Make every effort to attend; alternate attendance. (Pro)

PT5. Be present unless there were extenuating circumstances but sign the forms indicating their presence. (Per)

Most ethical action would be:

PT1. Principal must be present.

PT2. Be sure someone is in attendance.

PT3. Have someone at every meeting.

PT4. Have both administrators attend the meetings.

PT5. One of the administrators should be present but on occasion may have to be absent.

1-3 Stacy Vickers has maintained an "A" average throughout her high school career. However, a grade of "C" in her final exam in Mathematics Analysis resulting in a final course grade of "B" has brought complaints from Stacy and her parents. They contend the exam was unfair and resulted in most pupils receiving a final grade that was at least one letter grade below the average maintained for the year.

In presenting their case to the principal the Vickers' indicate that unless some immediate action is taken to raise Stacy's grade, they will bring the issue before the school board and seek legal advice.

Most principals would:

PT1. Talk with the teacher; make a judgment; inform parents of your decision. (Per & Pro)

PT2. Assure parents you will investigate the situation. Have a thorough discussion with the teacher and get back to the parents. (Pro)

PT3. Talk with the teacher to understand how grades were given. Arrive at a decision

and inform the parents. (Pro)

PT4. The grading system belongs to the teacher. Along with the school board, ride out the parents' protest. (Per)

PT5. Support the teacher; have the grade stand. (Pro)

Most ethical action would be:

PT1. Investigate the situation to find out what happened.

PT2. Investigate the situation so an informed decision can be made.

PT3. Gather information to be sure no mistakes were made.

PT4. Inform the teacher of the situation and be sure the teacher felt the exam was fair.

PT5. Be courteous with the parents, but support the teacher.

1-4 Phil Layne, principal of Brighton High School, has always had the reputation of being a "go-getter". From the beginning of his teaching career, Phil has always sought ways to make additional income through part-time enterprises.

Now as an authorized AMWAY representative, he wonders if he can tap into this potential clientele of school staff and school organizations.

Most principals would:

PT1. Not get involved. (Pro & Per)

PT2. Garner added income apart from school. (Per & Pro)

PT3. Not do this. (Per)

PT4. See this as not being right. (Per & Pro)

PT5. Say no to this. (Per & S)

Most ethical action would be:

PT1. Definitely not get involved.

PT2. Place this activity off limits in school.

PT3. Not do it.

PT4. Not get involved.

PT5. Avoid this at all costs.

In order to examine the reliability of principals' responses to the scenarios presented, I re-visited respondents 2 and 5 and conducted another interview. Interviews for respondent 2 were held on April 5 and April 21; interviews for respondent 5 were held on April 14 and April 22.

Responses to each of the scenarios regarding what most principals would do and what the ethical action should be were substantially the same as provided in the initial

interview. However, there were some differences in the ethic standards identified as having the greatest influence upon the decision. A summary version of each scenario along with the responses provided is presented below:

1-1 Teacher including a devotional and moment for silent prayer as part of homeroom period.

Most principals would:

PT2. Talk with the teacher to determine the nature of the materials being used and to be sure they were within the requirements of the law. (O & Pro) from (Pro)

PT5. Disregard the situation; make plans to deal with it later, if necessary. (S & Per) from (Per & S)

Most ethical action would be:

PT2. Talk with the teacher so the decision can be made from an informed position.

PT5. Discuss with teacher in a non-threatening way. Permit use of non-religious materials in a "thought for the day".

1-2 Administrator to attend special education eligibility and/or placement meetings.

Most principals would:

PT2. Arrange for one of the administrators to be present and adjourn the meeting if the administrator had to leave. (O) from (O & Pro)

PT5. Attempt to be present but instances may arise when administrators are not able to be present. If absent, sign-off on the paperwork later. (Pro & Per) from (Per)

Most ethical action would be:

PT2. Have one of the two individuals present at the meeting.

PT5. Administrators should be present but may be absent for a valid reason and need to sign the paperwork later.

1-3 Parents seeking a grade change.

Most principals would:

PT2. Discuss issue with the teacher; examine how the grade was determined. Make the most equitable decision possible on the grade. (Pro)

PT5. Have the teacher's grade stand and let the parents seek legal advice and go to the board. (Pro & O) from (Pro)

Most ethical action would be:

PT2. Investigate to be able to make a reasonable decision.

PT5. Have the teacher's grade stand.

1-4 Principal considering sale of AMWAY products to staff and school organizations.

Most principals would:

PT2. Keep hands off with regard to this kind of venture. (Pro) from (Per & Pro)

PT5. Stay clear of this. (Pro & Per) from (Per & S)

Most ethical action would be:

PT2. Do not become involved.

PT5. Do not promote or endorse anything.

APPENDIX F: Code of Ethics

Statement of Ethics

An educational administrator's professional behavior must conform to an ethical code. The code must be idealistic and at the same time practical, so that it can apply reasonably to all educational administrators. The administrator acknowledges that the schools belong to the public they serve for the purpose of providing educational opportunities to all. However, the administrator assumes responsibility for providing professional leadership in the school and community. This responsibility requires the administrator to maintain standards of exemplary professional conduct. It must be recognized that the administrator's actions will be viewed and appraised by the community, professional associates, and students. To these ends, the administrator subscribes to the following statements of standards.

The educational administrator:

1. Makes the well-being of students the fundamental value in all decision making and actions.
2. Fulfills professional responsibilities with honesty and integrity.
3. Supports the principle of due process and protects the civil and human rights of all individuals.
4. Obeys local, state, and national laws and does not knowingly join or support organizations that advocate, directly or indirectly, the overthrow of the government.

5. Implements the governing board of education's policies and administrative rules and regulations.
6. Pursues appropriate measures to correct those laws, policies, and regulations that are not consistent with sound educational goals.
7. Avoids using positions for personal gain through political, social, religious, economic, or other influence.
8. Accepts academic degrees or professional certification only from duly accredited institutions.
9. Maintains the standards and seeks to improve the effectiveness of the profession through research and continuing professional development.
10. Honors all contracts until fulfillment or release.

This Statement of Ethics was developed by a task force representing the National Association of Secondary School Principals, National Association of Elementary School Principals, American Association of School Administrators, Association of School Business Officials, American Association of School Personnel Administrators, and National Council of Administrative Women in Education.

--Approved by NASSP Board of Directors, November 1973.

APPENDIX G: Reviewers of the Scenarios

Reviewers of the Scenarios

1. Dr. Donald Alvey, Principal
2. Mrs. Louise Carlton, Principal
3. Dr. Dan Duke, Professor
4. Mr. Richard Flannary, National Association of Secondary School Principals
5. Mr. Wayne Flint, Principal
6. Mr. Thomas Hawks, Principal
7. Dr. Roger Jones, Principal
8. Mr. Robert Miller, Principal
9. Dr. Omar Ross, Superintendent
10. Mr. Stephen Staples, Principal

APPENDIX H: Principals' Responses to the Scenarios

Principals' Responses to the Scenarios

SCENARIO 1. Devotion to Duty

1. Conduct a private conference with the teacher, and direct her to discontinue the practice of having devotionals or moments for silent prayer during the school day.

2. Talk with the teacher to determine the nature of the material being used.

3. Ignore the situation until someone complains or a problem develops.

4. Direct the teacher to examine her practice so she does not have a problem if someone questions the homeroom activities.

5. Inform the teacher she could have the moment of silent prayer but would not be permitted to read the devotional aloud.

SCENARIO 2. Determining Priorities

1. Arrange for one of the administrators to attend the meetings.

2. Delegate the responsibility of attending the meetings to school guidance personnel.

3. Have one of the administrators present unless an emergency situation or extenuating circumstance prevents their attendance.

SCENARIO 3. The Final Say

1. Thoroughly investigate the situation by securing information from the parents, student and teacher; arrange a meeting among them in order to make an informed, reasoned decision at the building level.

2. Investigate the matter and after arriving at a decision inform the parents and teacher.

3. Maintain a position of support for the teacher and inform the parents the situation would be examined and a decision rendered.

SCENARIO 4. Mixing Business with Business

1. Keep this type of business venture separate from their schools. Avoid this type of practice.

SCENARIO 5. The Right to Know

1. Avoid using the intercom system to listen to teacher conversations.

2. Bring the staff together in a meeting and openly discuss the perceived problems.

3. Meet with the five teachers individually or as a group to seek their assistance.

SCENARIO 6. A Matter of Degree

1. Have the secretary prepare personal items as time permits.

2. Refuse to have the secretary perform work of a personal nature.

3. Employ the secretary outside of regular working hours, and compensate her for the work done.

4. Request the secretary to work some additional hours after school or on the weekend.

SCENARIO 7. Pursuing Excellence

1. Contact the teacher's principal, and request permission to talk with her.

2. Refuse to make any arrangements to contact the teacher.

3. Wait until the teacher makes the first contact.

4. Avoid direct contact, but make arrangements to have the teacher informed about the position.

5. Inform the principal you will be in contact with his teacher regarding the possibility of employment in your school.

6. Make direct contact with the teacher to sell your school, and see if she would be interested in applying.

SCENARIO 8. Reputation at Stake

1. Do all they could to help him obtain the position.

2. Tell Dave they would not be able to assist him to obtain the position.

3. Try to discourage Dave from applying without directly indicating their position.

SCENARIO 9. An Opportunity to Unload

1. Agree to provide a recommendation that would be lukewarm in nature.

2. Discuss their recommendation with the teacher, and let the teacher decide whether or not to use them as a reference.

3. Write a letter of recommendation that highlights the teacher's positive characteristics but does not misrepresent the teacher's performance.

4. Provide an accurate recommendation that details the overall performance of the teacher.

5. Inform the teacher they would not be able to provide a good recommendation.

SCENARIO 10. Reaping the Benefits

1. Accept the oranges and cheese.

2. Refuse receipt of the items.

3. Accept the oranges and cheese but say nothing about it.

4. Recognize this as a common business practice, and accept the items as a simple courtesy extended by the sales representative.

5. Accept the items, but bring them to school and share them with the staff.

6. Call the vendor, and ask him to come and pick up the gift items.

7. Let the oranges and cheese sit and rot.

SCENARIO 11. Funding the Program

1. Determine whether the cost of pictures is unreasonable for the community; if the cost is too high, reduce the price or eliminate picture sales.

2. Eliminate the sale of pictures as a fund raising activity.

3. Base their decision on the financial ability of the school to continue operating its programs.

4. Try to be fair to the students by refusing to raise prices.

5. Reduce the cost of pictures to the students by having the school and the photographer cut their profit margins.

6. Retain the same contractual arrangement.

SCENARIO 12. Sharing the Wealth

1. Base their decision upon existing policies of their school division.

2. Accept the honorarium.

3. Refuse the honorarium.

4. Accept the honorarium, but apply it to the school project.

5. Accept payment for personal expenses, but refuse the honorarium.

SCENARIO 13. Crisis Control

1. Report the situation immediately to the Department of Social Services for their investigation.

2. Contact the parents to explain the allegations and determine if there was a need for further investigation.

3. After speaking with the student, contact her parents to arrange a conference.

4. Conduct a discrete investigation in the school, and report the matter to Social Services, if the facts

warrant such action.

SCENARIO 14. Capping Off the Year

1. Follow the tradition and host the annual event.

2. Host an event to recognize the efforts of the coaches and boosters without any alcoholic beverages.

3. Make the decision to continue or end the traditional event based on whether it was in their best interest and necessary to contribute to the harmonious operation of the school.

SCENARIO 15. Divided Loyalty

1. Explain to the staff their activities at the school board meetings were hurting them.

2. Adopt the position of the superintendent and school board, and encourage teachers to avoid attending school board meetings.

3. Maintain the position teachers have a right to attend board meetings and present their concerns.

4. Work with the teachers in a collaborative way to be sure they have accurate information and assist them to utilize school channels in a more positive way to transmit their concerns.

5. Say nothing to the teachers; let them express themselves freely.

6. Work through the local teacher's association, and arrange for one or two teachers to attend school board meetings to represent the group.

7. Inform the teachers they have a right to attend school board meetings, but request them to avoid raising any issues and act in a professional manner.

8. Express to the teachers their actions at board meetings are not appreciated and could jeopardize their positions.

9. Recognize teachers are professional, and work with them to connect professionalism with the manner in which they address concerns to the school board.

SCENARIO 16. Censorship and Community Standards

1. Continue normal school operation until an item is challenged.

2. Base selection of materials upon knowledge of the community standards and the area served by the school.

3. Avoid any action that could be construed as censorship.

4. Base the selection of materials upon their educational value without permitting undue influence from censors.

5. Initiate a review of media center materials, and remove any items deemed to be questionable.

6. Establish a committee of staff members to review materials and determine whether the items are suitable.

7. Follow the school division's policies on the selection of materials and the procedures to be used when items are challenged.

SCENARIO 17. Standard Reporting

1. Inform the superintendent they are unable to meet the 40% requirement, and request additional assistance to meet job responsibilities.

2. Work with state department personnel to establish flexible percentage figures which take into account particular circumstances in each school.

3. Report they were unable to meet the standard, and request assistance to meet the 40% requirement.

4. Report they were meeting the standards.

SCENARIO 18. Time Out

1. Attend all of the sessions; bring back materials for other administrators, and make a report to the superintendent.

2. Refuse to attend the conference as a means of having some time for socializing and relaxing and use their earned vacation time for that purpose.

3. Use the time to relax, socialize and make connections rather than attempt to attend many of the sessions.

4. Attend the conference and participate in the sessions for which they have pre-registered as well as other presentations that may be beneficial to them and their school.

SCENARIO 19. What You Don't Know . . .

1. Make it a practice to be a visible presence in and around the lounge without spending a great deal of time there.

2. Make the faculty aware that you view this type of conduct as being destructive to the school and its purposes.

3. Avoid the teachers' lounge.

4. Maintain an open door policy, and develop a climate which encourages the staff to discuss situations with you as they occur.

5. Utilize in-service programs and portions of faculty meetings to work with teachers on adopting more professional and constructive attitudes and behaviors.

6. Visit the lounge; be a part of teacher discussions, and openly talk about their concerns.

7. Use the master schedule to separate teachers who tend to gossip.

SCENARIO 20. Principal/Principle

1. Inform the board chairman that once on the job they would have to investigate the situation prior to committing to a specific course of action.

2. Base their answer on the degree to which they wanted the position.

3. Agree to initiate the dismissal proceedings.

4. Enter into a discussion with the Board to determine if there was sufficient documentation upon which to build a case for dismissal.

VITA

ANTHONY J. OLIVEIRA

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SUMMARY:

Professional educator with a life-long investment in learning. Experience has involved classroom teaching, guidance and counseling, building level administration and coordinating, monitoring and auditing functions as a state supervisor. Special competencies include outstanding human relations abilities complemented by effective listening and communication skills. A strong background in curriculum and instruction has provided a sound base for enhancing staff development and improving observation/evaluation processes. Committed to staff and community involvement in all aspects of a school system's operation; view integrity and accountability as indispensable components of leadership. Personal qualities include integrity, diplomacy, cooperation, conscientiousness, fairness and dependability.

EXPERIENCE/VARIED ACTIVITIES:

1988-present	ELEMENTARY SUPERVISOR Floyd County Public Schools, Floyd, Virginia
1984-1986	STATE SUPERVISOR Virginia Department of Education, Radford, Virginia
1973-1984	PRINCIPAL Galax Elementary School, Galax, Virginia
1969-1973	ASSISTANT PRINCIPAL, PRINCIPAL Aston Elementary School, Aston, Pennsylvania
1959-1969	HISTORY TEACHER, ASSISTANT DIRECTOR OF GUIDANCE, DIRECTOR OF ADMISSIONS Valley Forge Military Academy, Wayne, Pennsylvania

EDUCATION:

1986-1990	Virginia Polytechnic Institute and State University
	* Ed.D., Educational Administration (expected completion, December, 1990)
	* Certificate of Advanced Graduate Study (June 1988)
1975-1984	University of Virginia
	* Varied courses for professional development and certification.
1970-1971	Villanova University
	* Granted certification in elementary administration
1961-66	Temple University
	* M.Ed., Guidance and Counseling
1956-1959	West Chester State College
	* B.S., Secondary Education
	* Major, Social Studies

CERTIFICATION:

Postgraduate Professional with endorsements in Elementary Principal, Secondary Principal, Secondary Guidance, and History.

PERSONAL DATA:

Date of Birth: November 29, 1937

Married; three children

Anthony J. Oliveira