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THE RELEVANCE OF ETHICAL STANDARDS AMONG VETERAN
SUPERINTENDENTS

A dissertation submitted in partial fulfillment

of the requirements for the degree of

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ABSTRACT

THE RELEVANCE OF ETHICAL STANDARDS AMONG VETERAN SUPERINTENDENTS

Kevin Scanlon

Ethical violations in education exist worldwide. Superintendents of schools are in the unique position of exerting their authority and influence on the entire community. They also contend with ethically challenging situations. The purpose of the study is to determine the extent to which superintendents are influenced more by their experiences versus their training in ethical standards when ethically challenging situations confront them. In response to ethical issues that have occurred in education, academic institutions and districts have attempted to rectify the issue by further training and practices. This study determined that existing superintendents in New York utilize their own experiences and ethics over relying on one of several codes of ethics or their administrative certifications program training when confronted with ethically challenging situations. A phenomenological study was conducted utilizing an adaption of the *Ethical Awareness Inventory* to determine the feelings and sentiments of current superintendents toward ethics when presented with ethically challenging situations.

DEDICATION

This dissertation is dedicated to my wife, Kerri, and my two children, Meghan and Sean. Without their love, patience, understanding, and support, I could not have completed this program.

Thank you to my family, especially my parents, Michael and Jean, who are now passed. Their gifts of love, support, and courage inspired me throughout my life. They provided the foundation for my education and encouraged me to do my best in every circumstance.

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TABLE OF CONTENTS

| | |
|---|------|
| DEDICATION | ii |
| ACKNOWLEDGEMENTS | iii |
| LIST OF TABLES | vii |
| LIST OF FIGURES | viii |
| CHAPTER 1: Introduction | 1 |
| Problem Statement | 5 |
| Purpose of the Study | 6 |
| Theoretical/Conceptual Frameworks | 9 |
| Methodology | 13 |
| Significance of the Study | 14 |
| Research Questions | 18 |
| Definition of Terms | 19 |
| CHAPTER 2: Introduction | 23 |
| Theoretical Framework | 23 |
| Review of Related Literature | 24 |
| Conclusion | 47 |
| CHAPTER 3: Introduction | 49 |
| Methods and Procedures | 49 |

| | |
|---|-----|
| Conclusion | 65 |
| CHAPTER 4: Introduction | 66 |
| Results and Findings | 67 |
| Conclusion | 83 |
| CHAPTER 5: Introduction | 84 |
| Implications of Findings | 84 |
| Relationship to Prior Research..... | 90 |
| Limitations of Study | 97 |
| Recommendations for Future Practice..... | 98 |
| Recommendations for Future Research | 99 |
| Conclusion | 100 |
| EPILOGUE | 102 |
| APPENDIX A: IRB Approval | 103 |
| APPENDIX B: Ethical Awareness Inventory..... | 104 |
| APPENDIX C: Interview Questions..... | 114 |
| APPENDIX D: AASA Statement of Ethics for Educational Leaders | 115 |
| APPENDIX E: New York State Code of Ethics for Educators | 117 |
| APPENDIX F: ELCC District Level Standards | 121 |
| APPENDIX G: Interstate School Leaders Licensure Consortium (ISLLC) Standards... | 125 |
| APPENDIX H: Professional Standards for Educational Leaders..... | 127 |

| | |
|------------------|-----|
| REFERENCES | 128 |
|------------------|-----|

LIST OF TABLES

| | |
|--------------------------------|----|
| TABLE 1 Code Presence | 73 |
| TABLE 2 Code Application | 75 |

LIST OF FIGURES

| | |
|--|----|
| FIGURE 1 Conceptual Framework | 13 |
| FIGURE 2 Interview Question Matrix | 54 |
| FIGURE 3 3D Code Cloud | 86 |

CHAPTER 1

Introduction

Ethics is defined as a set of moral principles of conduct that govern an individual or group. Ethics act as a guiding philosophy and instill a consciousness of moral importance. Ethics is derived from the Ancient Greek term *ethikos*, which means "relating to one's character." The root word, ethic, means "character or moral nature." Through the centuries, scholars from Socrates to Hoy have studied ethics in a variety of forms, including meta-ethics, normative ethics, applied ethics, moral psychology, and descriptive ethics. One of the fields of application in applied ethics is public sector ethics.

Public sector ethics incorporates anyone who works for a government agency. School districts are government agencies which are overseen in New York State by publicly elected boards of education and administered by superintendents of schools. Like other professions and fields, the educational profession has had issues with ethical violations in several areas. Ethical violations in education seem hypocritical provided the nature of the mission of education. Resnick (2015) noted that most people have a common ethical norm derived from their home, school, church, or other societal entities, but they interpret and balance that norm in varying degrees and manners.

Further research into ethical challenges revealed that New York was not alone in the nation or the world in contending with issues of ethical challenges. With the advent of the internet and the explosion of the use of social media, ethical issues have developed in educational technology. Research has demonstrated that the issues are a global concern (Olcott, Farran, Echenique, Gallardo, & Martinez, 2015). In addition, the issue

of ethics in educational technology has presented challenges for education technologists (Mayes, Natividad, & Spector, 2015). This point has led to the development of codes of conduct for administrators, teachers, and students in the appropriate use of technology. However, the highest instances of discipline in public schools in New York is related to some type of cyberbullying.

Ethical issues related to the treatment of students by administrators and teachers plague the educational system. Studies have concluded that there is inherent bias in the treatment of students (Cogaltay & Karadag, 2016). In particular, there have been significant emphases on the treatment of immigrant students and on teacher apathy (Cortez, Sorenson, & Coronado, 2012). Racial attitudes among educators was also evidenced in the research (Forman & Lewis, 2015).

Evidence of disparate treatment of students based upon racial and socio-economic status can be found throughout the educational system. Statistical evidence in disciplinary practices among K-12 public school administrators demonstrates the existence of the disparity. Moreno and Scarletta (2018) conducted extensive research on zero tolerance policies. Their work noted that allowing greater flexibility in alternative disciplinary practices reduced the rate of recidivism among students who were disciplined in contrast to adherence to a one-size-fits-all procedure. Furthermore, Cranston and Kusanovich (2014) noted the necessity to develop ethical capacity among administrators (p. 151). To develop the ethical capacity and understanding necessary for administrators to become more comfortable and innovative in disciplinary practices, especially among minority and socio-economically disadvantaged populations of students, extensive training and professional development needs to be examined.

An administrator's familiarity with and comfort in implementing alternatives to zero tolerance policies must be determined in order to break the vicious cycle of draconian disciplinary practices. Wamser, Homes, and Zahm-Duncheon (2014) recommended the development of a clearly defined ethical policy (p. 129). However, the research emphasized the need to train new teachers in the code prior to entering the field as a teacher (p. 130). Tubbs, Heard, and Epps (2011) recommended using ELCC standards in the preparation of principals with an emphasis on ethics (p. 17).

Zero tolerance policies were enacted to deal strongly with disciplinary infractions in the educational system. From a legal standpoint, zero tolerance policies avoid comparisons and provide the sense of equality of treatment to all students. However, equality and equity are not synonymous. Ethical issues related to the disparate treatment of students by administrators and teachers still plague the educational system. After Thompson (2016) researched zero tolerance policies, he recommended the elimination of such policies to avoid the disparity between the treatment of Hispanic students and that of their white counterparts. However, Thompson did not recommend an alternative to zero tolerance policies. Sheras and Bradshaw (2016) encouraged the use of policies that created a positive school culture and influenced learning. Sheras and Bradshaw did not indicate how training of administrators could impact the outcome of alternative policies to zero tolerance.

The groups of students most negatively impacted by zero tolerance policies seem to be minorities and the socio-economically disadvantaged. Colgatay and Karadag (2016) concluded that there is inherent bias in the treatment of immigrant students. However, further research was recommended in order to ascertain the origins of such

bias. Cortez, Sorenson, and Coronado (2012) determined that immigrant populations presented unique challenges to administrators for which they were neither prepared nor trained. Cortez, et.al., further noted that as the number of immigrant students has increased in recent years, educator apathy towards them has increased as well. Bell (2015) confirmed similar perspectives regarding educator apathy among African-American students when their sentiments to education were studied. Abdul-Adil, J., & Farmer, A. (2006) confirmed that Hispanics were also treated unfairly in disciplinary practices. Finally, Morgan, Farkas, Hillemeier, Wang, Mandel, DeJarnett, and Maczuga (2019) recently confirmed that even students with disabilities were disciplined more than other classifications of students.

Consequently, a question arises about the quality of training provided to administrators in the area of discipline. Forman and Lewis (2015) examined racial attitudes among educators and determined that as less tolerant whites leave the educational system, there is a dramatic change occurring in the educational system. In response to ethical issues that have occurred in education, academic institutions and districts have attempted to rectify these issues by further training and practices.

The most egregious of ethical violations in a school or district in terms of finances came in 2005 when it was discovered that the superintendent, the assistant superintendent for business, and other employees of the Roslyn Union Free School District in Roslyn, New York, had stolen 11.2 million dollars from 1996 through 2004 (Lambert, *The New York Times*).

At the time of the scandal in Roslyn, New York State did not possess a code of ethical standards for P-12 educators. Similarly, Wamser, Homes, and Zahm-Duncheon

(2014) determined that many states did not possess a code of ethics for educators. New York was one of the states noted for having a code of ethics for higher educators. However, until 2002, New York State did not have a code of ethics for P-12 educators. In the New York State Code of Ethics, there is no specific language in the code of ethics that specifically addresses the role of the administration. However, in 2017, the New York State Education Department developed a code of ethics for administrators based upon the Professional Standards for Educational Leaders.

Problem Statement

Based upon the literature researched, it is evident that ethical violations in education exist worldwide and that ethics studies in education fall into several categories. Fitch (2009) determined that superintendents respond ethically only about half the time when confronted with ethically challenging situations. The research will apply the literature to the educational system in New York State. Although there is a Code of Ethics for Educators, there is a lack of awareness about and application of the code (NYSED, *Code of Ethics for Educators*). A Code of Ethics has been developed for administrators in New York. The New York State Education Department has yet to fully implement the code, or to require leadership preparation programs to teach the code. Fundamentally, the lack of support in terms of disciplinary practices leaves the code as merely an option rather than a requirement.

Therefore, before determining the need for a code of ethics, there is a need to investigate current superintendents' feelings about the administration programs they attended in preparing to confront ethically challenging situations. Russell's (2005) findings indicated that personal feelings were the greatest influences on the decision-

making processes of superintendents. Since most of the current superintendents in New York State became superintendents prior to the existence of a code of ethics for administrators, and therefore lack professional development on the code of ethics, superintendents must assess the value of a code of ethics in their present work. Greenfield (1991) expressed that due to the nature of schools and the number of moral dilemmas experienced by administrators, training in ethics should be a component of all administration preparation programs. To understand the feelings and sentiments of superintendents, we must understand the role and the ethical codes that presently exist for educational administrators.

Purpose of the Study

The purpose of the study is to determine the extent to which superintendents are influenced more by their experiences versus their training in ethical standards when ethically challenging situations confront them. In response to ethical issues that have occurred in education, academic institutions and districts have attempted to rectify the issue by further training and practices. However, there must first be recognition that professionalism among educators needs to be viewed as an ideology (Larson, 2014). Therefore, educators must professionally conduct themselves. Some schools have resorted to cultivating democratic professional practices to mitigate unfair or disparate treatment (Tenuto, 2014). Administrators must be trained to move schools forward in ethical practices (Sun, Chen, & Zhang, 2017). Reardon (2016) noted the necessity for training in ethics for all educators. Although there now exists a Code of Ethics for administrators in New York, the vast majority of the superintendents currently in New York State schools received their certifications prior to the existence of the Code of

Ethics. Curiously, there is nothing written in the information on the New York State Code of Ethics for Administrators that requires training or professional development. Neither does the documentation delineate any regulations that would provide disciplinary consequences for ethical violations to the code. Therefore, it is essential to determine what existing superintendents in New York utilize when confronted with ethically challenging situations.

Ethical Challenges

Superintendents of schools are presented with many challenges. Orr noted that among these challenges are demands for decentralization within the district and increased centralization by the state (Orr, 2006, p. 1). The demands impact their personal life as well. Critical to the scope of superintendents' work are the complex relationships within the school system, the community, and local, state, and national events (p. 2). Challenges further include finances, assessments, accountability, and demands for new teaching and education programs. The superintendency is ever-changing in demands and pressure. Training and ongoing professional development, especially in the area of ethics, is limited (p. 4).

Cranston, Ehrich, and Kimber (2006) conducted a study in Australia among seven independent schools. The study examined ethical dilemmas faced by school administrators. The determination was that issues with ethical dilemmas were a common daily occurrence. In most cases, the issues presented a right versus a right situation (p. 107). Dempster, Carter, Freakley, and Parry (2004) believed that the nature and consistency of principals' ethical decisions were analyzed in this study. The results indicated that the principals were not consistent with ethical decision-making theories.

Dempster and Berry (2003) conducted a study in Australia among principals and concluded that principals experienced pressures due to the ethical decisions that must be made daily. The pressures arose from decisions related to ethically challenging situations particularly in areas of student discipline. A lack of professional development was noted in ethical decision-making (p. 475).

Ethics

Developing an ethical compass to guide the decision-making process has been an elusive target that often relies on the individual's morals and integrity. The role of leadership preparation and support can make the difference in leading successfully through challenging times (Orr, p. 6). With the proper preparation, superintendents can face new challenges with effective strategies learned from others in the role. The challenges will continue to present themselves in terms of board relations, budget, power, politics, the culture of the community, history, expectations, and learning the role while also balancing family and health. Challenges with the board often exist because of mistrust of the school leadership by board members or influential community members (p. 8). However, when a superintendent is knowledgeable in these areas, the chances for success increase exponentially. Learning to prioritize responsibilities and issues, setting boundaries, creating a climate of collaboration and trust, and defining their role while establishing their leadership style are critical components for developing a superintendent as an ethical leader.

Based upon the literature researched, it is evident that ethical violations in education exist worldwide. Ethics studies in education fall into several categories. The research will apply the literature to the educational system in New York State. Although

there is a Code of Ethics for Educators, there is a lack of awareness (NYSED, *Code of Ethics for Educators*). A Code of Ethics has been developed for administrators in New York. The New York State Education Department has yet to fully implement the code, or to require leadership preparation programs to teach the code. Fundamentally, the lack of support in terms of disciplinary practices leaves the code as merely an option rather than a requirement.

Theoretical/Conceptual Framework

Research on ethics in education leadership provided a large number of theories. Sergiovanni (2007) viewed leadership as a "moral craft." He believed that the characteristics of moral leaders are the reason for successful schools (p. 3). Moral leaders, in his view, build connections by following their moral compass. Shapiro and Stefkovich (2016) applied four ethical paradigms to the ethical lens of educational leadership. These paradigms included the ethics of justice, care, critique, and profession. Shapiro and Stefkovich believed that applying these paradigms to real dilemmas, despite the complications and contradictions of the world today, can allow educational leaders to come to terms with their ethical codes. Bolman and Deal (2008) applied organization frames to ethical leadership. Their four frames included mutuality, generality, openness, and caring, all of which they felt were characteristic of ethical leaders. Lastly, Wagner's and Simpson's (2008) Virtue Theory examined the dependency of ethics on the context, personality, character, cooperation, and thinking of an educational leader (p. 4). Wagner and Simpson believed that education as a profession must agree on a common set of rules in order to be truly virtuous as a profession (p. 2). As the research proceeds, these theories will be incorporated into the examination of the data provided from the

interviews of current superintendents of schools. The commonality of purpose and origins of their ethical compasses will be determined by the theories mentioned.

Shapiro and Stefkovich (2016) stated that researchers will discover the perspectives that educators tend to use more frequently by applying the four paradigms (p. 7). In their classes, Shapiro and Stefkovich noted that most of their students wanted ethics taught as part of their course work. Therefore, they felt compelled to create the paradigms to demonstrate the multiple ways to approach ethical viewpoints. The ethic of justice focuses on laws and rights. An individual will often give up rights for the good of the whole and seek tolerance and fair treatment for all. This paradigm connects directly to Segiovanni's moral leadership of educational leaders so that they may create institutions that are "just and beneficent" (p. 12). The ethic of justice considers policies that are or should be in place. The ethic of critique also examines laws and the processes that led to their creation, with a focus on whether those processes were just (p. 13). The ethic of critique challenges inequities within the status quo and give a voice to those who are silenced by those inequities. According to this paradigm, moral leaders are concerned with the equality and freedom of social classes in a democratic society (p. 15).

In juxtaposition with these two paradigms is the ethic of care. The ethic of care emphasizes social responsibility. It was frequently prevalent among female educational leaders whose voices related to care, concern, and connection when confronted with moral dilemmas (p. 16). This paradigm transcends ideological boundaries and was held in high regard by Segiovanni. The ethic of care is important to educational leaders who make moral decisions and seek to revise educational leader preparation so that those leaders consider multiple voices in decision-making processes. In order to do so, leaders

must abandon hierarchical leadership models in favor of connections through relationships (p. 17). Listening, observing, and responding to others are the hallmarks of this paradigm, in which leaders show empathy and compassion in their responses to others when considering their decisions and actions.

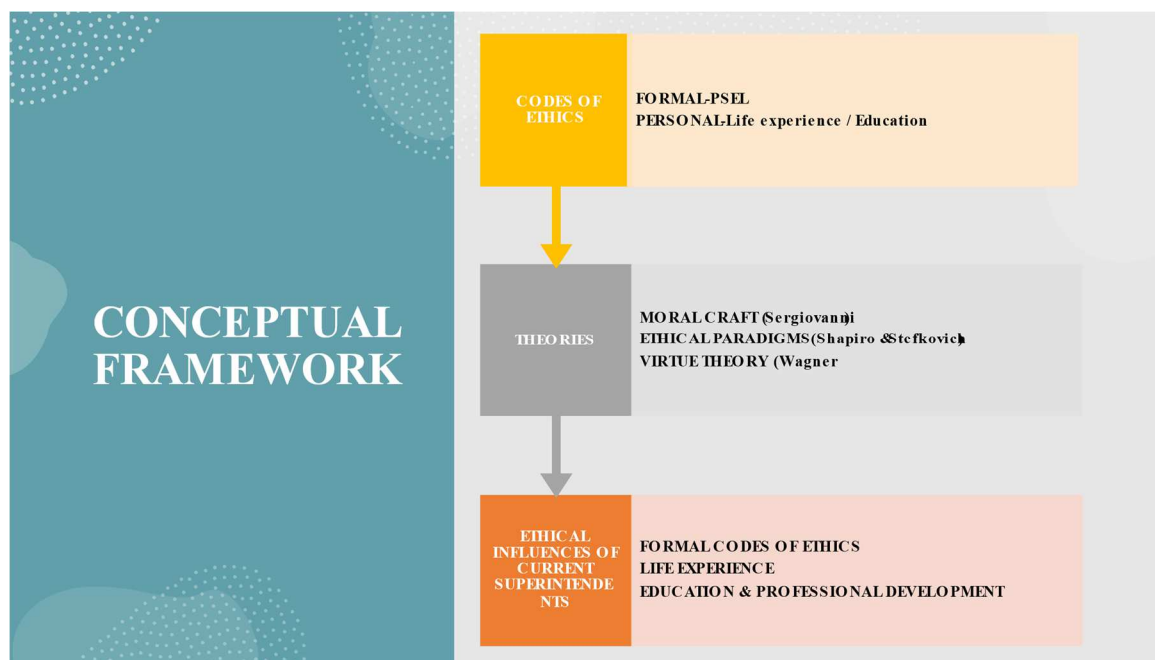
The ethic of profession was created to address the sentiment that the previous three ethic paradigms did not provide an adequate picture of factors of ethical decision-making considerations for educational leaders. Fields such as law, medicine, and business require students to take a minimum of one course in ethics, but education does not (p. 19). Shapiro and Stefkovich believed that administrators needed training in ethics. The development of standards in the field of education supported this perception. However, the full implementation of the standards has yet to be realized. Analysis of the standards reflects that the ethics of care and profession are embedded within several of the standards. Yet students do not indicate much interest in the codes of ethics (p. 22). Rather, they are viewed as guideposts for educators. The codes were not meant to be static, but rather to be inclusive and ongoing. The ethic of the profession allows for administrators to develop their own personal and professional codes. These personal and professional ethics should be reflective of the experiences and the expectations of educational leaders. The intent is for educational administrators to utilize best professional judgment when confronted with ethically challenging decisions. Decisions made with awareness of community sentiments may help prevent issues that arise with decisions made in isolation (p. 25). It is essential for administrators to maintain a focus on the needs of children as part of their ethical framework.

Bolman and Deal (2017) designed the Four-Frame Model to provide researchers with the ability to gather multiple perspectives (p. 20). The Four-Frame Model can be used by any organization that seeks to improve its model of leadership. The Four-Frames are structural, human resource, political, and symbolic. Each Frame is described in terms of subcategories that include metaphor for organization, supporting disciplines, central concepts, image of leadership, and basic leadership challenge (p. 20). Examples under the Structural Frame include factory or machine metaphors for organization; sociology and management science for supporting disciplines; roles, goals, strategies, policies, technology, and environment for central concepts; social architecture for image of leadership; and attunement of structure to task, technology, and environment for basic leadership challenge. Examples under the Human Resource Frame include the metaphor of family for organization; psychology for supporting discipline; needs, skills, and relationships for central concepts; empowerment for image of leadership; and organizational and human needs for basic leadership challenge. Examples for the Political Frame include a jungle metaphor for organization; political science for supporting disciplines; power, conflict, and competition in politics for central concepts; advocacy and political savvy for image leadership; and developing agenda and power base for the basic leadership challenge. For the Symbolic Frame, examples include carnival, temple, and theater metaphors for organization; anthropology, dramaturgy, and institutional theory for supporting disciplines; culture, myth, meaning, metaphor, ritual, ceremony, stories, and heroes for central concepts; inspiration for image of leadership; and creation of faith, belief, beauty, and meaning for basic leadership challenge (p. 20). Bolman and Deal adapted the Four Frames to ethics to address concerns over the morals of the

marketplace as CEO of Starbucks, Howard Schultz, noted (p. 385). Bolman and Deal concluded that ethics must be rooted in the soul of an organization's commitment to its identity, beliefs, and values so that the organization may address the global issue of crisis of meaning and moral authority (p. 396).

Figure 1

Conceptual Framework



Methodology

Although various methodologies might be applicable, Phenomenology seems most applicable for accomplishing the research goal. Creswell and Poth (2018) note that a Phenomenological Research Methodology allows for the extraction of themes and creates links (p. 11). Phenomenological Research seeks common meaning of lived

experience for several individuals (p. 74). It has as its roots a strong philosophical component and encompasses different philosophical arguments.

Phenomenology has defining features that make it unique from other research methodologies. Phenomenology emphasizes a phenomenon to be explored (p. 76). The researcher's experiences lead to the emphasis of the study, but the researcher is not part of the study. Data collection involves interviewing individuals who have experienced the phenomenon. The analysis of the data follows systematic procedures from narrow to larger connections. Transcendental Phenomenology provides descriptions of the participants and collects data from several individuals who have experienced the phenomenon.

Phenomenological Research begins with systematic steps for determining if this is the best methodology to examine the phenomenon, the interest and description of the phenomenon, and the broad philosophical assumptions (p. 78). The collection of the data requires several in-depth interviews. Analysis of the data from the interviews attempts to generate themes and bracket them so that textual and structural descriptions can be developed. The essence of the phenomenon can be reported and presented.

Significance of the Study

The research literature on ethical violations in education indicates that we know that ethical violations exist in several areas within the field of education worldwide. We also know that the study of ethics is typically embedded in the course work of most administrator preparation programs. However, we do not know the degree to which a code of ethics could potentially prevent future ethical violations by administrators specifically. The gap that has been discovered is whether the root cause of the

phenomena of ethical violations in education is due to a lack of knowledge of an ethical code, the reliance on other ethical theories, or to some other cause.

It is essential to determine the extent to which ethical violations exist in education. The research in ethics in education provided a broad array of subtopics explored in the literature review process. It is also critical, in order to guide future research, to determine the specific areas in which ethical violations occur within education. Ethical issues related to the treatment of students by administrators and teachers plague the educational system. Studies have concluded that there is an inherent bias in the treatment of students (Cogalty & Karda, 2016). There has been significant emphasis on the treatment of immigrant students and teacher apathy in recent years (Cortez, Sorenson, & Coronado, 2012). Racial attitudes among educators were also evidenced in the research (Forman & Lewis, 2015). While Board of Education policies and human resource regulations address many instances of inappropriate behavior, the topic of unethical practices such as biased treatment by employees toward one another and toward the students' needs to be incorporated in the ethical standards for administrators.

The research will further the study by Wamser, Homes, and Zahm-Duncheon (2014), wherein they explored codes of ethics in the United States and what truly guided individuals along an ethical pathway. Other research has provided opposing views on the ethics of administrators. Kasten and Ashbaugh (1991) determined that administrators rarely engaged in retrospective analysis when it came to their ethical decisions. Even though Kidder (2008) determined that value-driven decisions were more complex, most superintendents felt their values were up to date. Buchanan's (2013) research determined

that ethical administrators place students as their first priority, follow the rules, and are communicative.

A significant volume of information was discovered in the literature regarding the general topic of ethics in educational leadership. The literature demonstrated that ethical concerns in education were a global concern. Concern with ethical issues transcended concerns with educational topics such as technology. Still, many ethical issues could be found regarding the treatment of students. Much of the literature agreed that only through professional development and training could the elimination of ethical issues among superintendents be achieved.

During the research, there was a realization that prior to determining connections between training and integrity, there must be a rudimentary study of the concept of ethics. Delving deeper into the concept of ethics led to the research by Resnick. Resnick (2015) discussed the concept of ethics as an embodiment of the norms of a group. Applying Resnick's theory would allow for composing the norms of an educational administrator. From those norms, a determination of whether a superintendent's ethical norms or following a Code of Ethics is valued when contending with ethically challenging situations.

Theoretical Implications

The theoretical implications of the research will be the determination of whether superintendents in New York State feel the administrative preparation programs they completed prepared them for the ethical challenges they experienced. In addition, superintendents shall describe the value of a code of ethics when making decisions in an ethically challenging situation. The current code of ethics in New York State is not

intended to be used for disciplinary purposes. Implementing a code of ethics exclusively for administrators may need to be more explicit in terms of consequences for failure to comply with the code. For this to occur, the code of ethics for administrators would need to be adopted by the Board of Regents and become part of the Commissioner for Education's Regulations which govern education in New York State. To achieve this goal, the research must be valid and applicable to issues with ethical violations faced by administrators in the state. Other states may, in turn, adopt or adapt the code of ethics for administrators if codes do not already exist in those states. Thus, the research may influence the actions of administrators beyond the scope of New York.

Schon (1983) in his seminal work noted the importance of reflection for leadership in all fields. Our performance of actions in everyday life are part of an intuitive process that allows an individual the ability to reorganize phenomena (p. 49). Over time, individuals acquire knowledge that can be applied to future decisions. Schon noted:

A practitioner's reflection can serve as a corrective to overlearning. Through reflection, he can surface and criticize the tacit understandings that have grown up around the repetitive experiences of a specialized practice, and can make new sense of the situations of uncertainty or uniqueness which he may allow himself to experience (p. 61).

These experiences prepare the individual for future cases. Similarly, the research to be conducted will explore whether an educational administrator's training, use of codes of ethics, or personal experiences served as their greatest influence when faced with

ethically challenging situations. Schon described a process of reflection-in-action which he felt that managers seldomly undertake (p.243).

Practical Implications

In addition, the code of ethics for administrators will connect to the code of ethics which currently exists at the university level. The practical implications will be that the research study will provide a guide for ethical behavior among administrators in K-12 public schools in New York. The intent would be to conduct follow-up research to determine if implementing a code of ethics for administrators in New York would reduce the number of instances of ethical violations by administrators. If the code of ethics were adopted as part of the Commissioner's Regulations, districts throughout the state would need to form policies associated with enforcement of the code of ethics. The plan would be that the placement of the code of ethics within board policy would deter future unethical acts that might do irreparable harm to the students, staff, and communities.

Research Questions

The first formulation of the research topic stated, "Is there a parallel between the training and improvement of integrity among K-12 Public Education teachers and administrators in New York State and the increase of ethical violations?" Now that there has been some extensive preparation on the topic, the more concise research questions for the topic are:

RQ1: To what extent do superintendents in New York State feel that their administrative certification programs prepared them for the ethical challenges they faced in their positions?

RQ2: How would superintendents in New York State describe the value of a code of ethics exclusively for administrative practices when making decisions regarding ethically challenging situations?

RQ3: What experiences would superintendents feel prepared them to contend with ethically challenging situations beyond the scope of formal ethical standards within the field of education?

Field Setting

The population for this study includes representatives of the superintendents of schools from the 770 school districts in New York State as of the 2020-21 academic school year. New York is the fourth largest state in population in the United States. The population of New York in 2018 was 19.54 million. There are presently approximately 2.6 million K-12 students in New York State (New York State Education Department, *School Report Card*). The population is diverse in terms of socioeconomic status, race, ethnicity, geography, and political composition.

Definition of Terms

Ethics - a set of moral principles, especially ones relating to or affirming a specified group, field, or form of conduct. Origins include late Middle English (denoting ethics or moral philosophy; also used attributively): from Old French *éthique*, from Latin *ethice*, from Greek (*hē*) *ēthikē* (*tekhnē*) '(the science of) morals,' based on *ēthos* (see *ethos*).

EAI - *Ethics Awareness Inventory* was developed in 1995. Both educational institutions and businesses have used it for over five hundred thousand

participants. It is an ethics assessment instrument and a process to develop competency in ethics.

ELCC Standards - The National Educational Leadership Preparation (NELP) standards were developed by a committee comprised of essential stakeholder communities from across the country. These preparation standards, formerly known as the Educational Leadership Constituent Council (ELCC) standards, have been renamed the National Educational Leadership Preparation (NELP) standards and will guide program design, accreditation review, and state program approval.

ISLLC - The Interstate School Leaders Licensure Consortium developed the standards for educational leaders in 2008 that later became the PSEL.

NELP Standards - The NELP (National Educational Leadership Preparation) standards, which are aligned to the Professional Standards for Educational Leadership (PSEL), serve a distinct purpose. They provide specificity around performance expectations for beginning-level building and district leaders. Whereas the PSEL standards define educational leadership broadly, the NELP standards specify what novice leaders and program graduates should know and be able to do as a result of completing a high-quality educational leadership preparation program. Like the ELCC standards that preceded them, the NELP standards were developed specifically with the principalship and the superintendency in mind and will be used to review educational leadership programs through the Council for the Accreditation of Educator Preparation

(CAEP) advanced program review process. There is one set of NELP standards for candidates preparing to become principals and a second set of standards for candidates seeking to become superintendents (NPBEA).

New York State Code of Ethics for Educators - The State Board of Regents, as part of its teaching reform initiatives outlined in the 1998 report, New York's Commitment: Teaching to Higher Standards, called for the State Professional Standards and Practices Board for Teaching to develop a Code of Ethics for Teachers. In New York State, a teacher is defined as anyone for whom a certificate is required for service in the State's public schools. This includes classroom teachers, school administrators, and pupil personnel service providers (NYSED).

PSEL - *Professional Standards for Educational Leaders* provide guideposts that will help school leaders make a difference every day in the learning and well-being of students. Grounded in current research and the real-life experiences of educational leaders, they articulate the leadership that our schools need and our students deserve. They are student-centric, outlining foundational principles of leadership to guide the practice of educational leaders so they can move the needle on student learning and achieve more equitable outcomes. They're designed to ensure that educational leaders are ready to meet the challenges of the job today and in the future as education, schools, and society continue to transform (NPBEA).

Superintendent of Schools - In education in the United States, a **superintendent** or **superintendent of schools** is an administrator or manager in charge of several public schools or a school district, or a local government body overseeing public schools. All school principals in a respective school district report to the superintendent. The role and powers of the superintendent vary among areas.

CHAPTER 2

Introduction

The role of a superintendent of schools is unique in the organization of the district. There is only one superintendent in the district, and that person has considerable responsibility and exercises tremendous authority and influence within the district. In order to comprehend the ethical challenges to a superintendent, one must first understand the nature of the role. Examination of ethical challenges within school districts demonstrates that these challenges exist across the country and the world. Therefore, it is presumptive to believe that ethical challenges only exist within New York State.

Theoretical Framework

There are four theoretical frameworks applied to the results of the interviews conducted with current superintendents of schools in New York State. Sergiovanni's (2007) views on leadership as a "moral craft" will be applied. In addition, Shapiro's and Stefkovich's (2016) four ethical paradigms of the ethics of justice, care, critique, and profession provided terminology to extract codes from the interviews. Bolman's and Deal's (2008) applied organization frames to ethical leadership, including mutuality, generality, openness, and caring, demonstrating common themes. Lastly, Wagner's and Simpson's (2008) Virtue Theory in terms of context, personality, character, cooperation, and thinking of an educational leader were utilized (p. 4).

Review of Related Literature

The process for researching literature related to ethics, ethical standards, and the role of the superintendent of schools began with keyword searches in the St. John's University library website. The terms that were used for the searches included codes of ethics in education, ethics, educational ethical standards, school administration, and superintendents of schools, in combination and singularly. The search was conducted for peer reviewed sources, articles, and books on the topics. The timeframe for these sources was at first limited to the past five years. However, the initial search did not yield a significant number of related sources. By expanding the timeframe to ten years and beyond, a larger number of related sources were identified. The results of the searches yielded hundreds of sources which were examined by reading the abstracts to determine alignment with the topic of the research. The majority of the related resources were dated beyond the scope of the normal research parameters of five to ten years. Seminal works were considered for their value to research on ethics.

Additional searches were conducted with Google Scholar. Once again, the topics included codes of ethics in education, ethics, educational ethical standards, school administration, and superintendents of schools. The timeframe in this search had to be expanded as well due to the lack of related, peer-reviewed sources within the past five to ten years. A number of sources were retrieved, but further investigation was required to eliminate sources that were not related to the field of education.

An additional search within the St. John's University databases on dissertations was conducted. Although there were recent dissertations on the topic of ethics and

education, a close examination of the references used in those dissertations demonstrated that much of the material on ethics pre-dated the five-to-ten-year timeframe as well.

Codes of Ethics in Education

The American Association of School Administrators (AASA), which denotes itself as the “The School Superintendents Association,” formed its present code of ethics in 1981. The code from that AASA became the basis for several of the existing codes of ethics in the United States (see Appendix D). Pardini (no date) was critical of the code of ethics. She noted that the code is often prominently displayed but lacks enforcement. She quoted Tom Rogers, who was the Executive Director of the New York State Council of School Superintendents, in that the code was not objectionable. Still, the majority of the board that created the code were teachers, and, due to their influence, a violation of the code would not lead to discipline or dismissal. Hoyle (1993) noted that at that time, seventy-five percent of superintendents were satisfied with their preparation, yet, there was growing concern that past and current preparation for the superintendency would not meet the needs of the role in the future.

In 1998, The New York State Education Department began developing a code of ethics in response to the State Board of Regents reform initiative. The Board of Regents reacted to the report entitled “New York’s Commitment: Teaching Higher Standards” by creating a twenty-eight-member Standards Board created a code of ethics which was reviewed by professional organizations, teachers, administrators, college faculty, boards of education, parents, and the general public (NYSED, *Code of Ethics for Educators*). Four years later, in July of 2002, the New York State Code of Ethics for Educators was presented to the Board of Regents, which approved it and released it to the public (see

Appendix E for the complete code). The Code of Ethics addressed many relevant issues.

Principle 6 specifically addressed ethical foundations:

Principle 6: Educators advance the intellectual and ethical foundation of the learning community.

Educators recognize the obligations of the trust placed in them. They share the responsibility for understanding what is known, pursuing further knowledge, contributing to the generation of knowledge, and translating knowledge into comprehensible forms. They help students understand that knowledge is often complex and sometimes paradoxical. Educators are confidantes, mentors, and advocates for their students' growth and development. As models for youth and the public, they embody intellectual honesty, diplomacy, tact, and fairness (NYSED).

However, the Code of Ethics did not provide for any consequences to a violation of the code:

This Code shall not be used as a basis for discipline by any employer. It shall not be used by the State Education Department as a basis for a proceeding under Part 83 of Commissioner's Regulations, nor shall it serve as a basis for decisions pertaining to certification or employment in New York State. Conversely, this Code shall not be interpreted or used to diminish the authority of any public school employer to evaluate or

discipline any employee under provisions of law, regulation, or collective bargaining agreement ((NYSED, *Code of Ethics for Educators*)).

Subsequently, the significance of the Code of Ethics seemed merely for show, and it has not been updated since 2002 based upon the versions of newer national standards for codes of ethics which will be explored. Moreover, the Code of Ethics did not focus on educational leaders.

In 2008, three years after the scandal in Roslyn, the Interstate School Leaders Licensure Consortium (ISLLC) issued the “Educational Leadership Policy Standards” (see Appendix G for the complete document), which the National Policy Board adopted for Educational Administration (NYSED, *ISLCC*). These standards were intended for educational leaders. Among the six standards, Standard 5 specifically addressed ethics:

ISLLC-Standard 5

An education leader promotes the success of every student by acting with integrity, fairness, and in an ethical manner. Functions:

- A. Ensure a system of accountability for every student’s academic and social success
- B. Model principles of self-awareness, reflective practice, transparency, and ethical behavior
- C. Safeguard the values of democracy, equity, and diversity
- D. Consider and evaluate the potential moral and legal consequences of decision-making

E. Promote social justice and ensure that individual student needs inform all aspects of schooling (NYSED, *ISLLC*).

Although a much more specific and robust set of standards for administrators, the standards were not adopted by the New York State Board of Regents. These standards would have made more explicit the expectations for administrators in terms of ethics.

The National Educational Leadership Program (NELP) in 2008 utilized the ISLLC to develop a comprehensive training program for college degree and certification programs in the United States. Among the seven standards delineated for this program, the concept of ethics was embedded within a subset of Standard 5: “ELCC 5.2: Candidates understand and can model principles of self-awareness, reflective practice, transparency, and ethical behavior as related to their roles within the district” (NPBEA, 2011). This was a significant step in creating ethical training for administrator candidates as they pursued their certifications (see Appendix F for the complete list of ELCC Standards).

In 2011, the NPBEA formed the Educational Leadership Committee. In 2015, ISLCC was converted to the Professional Standards for Educational Leaders (PSEL). The National Policy Board for Educational Administration (NPBEA) recognized that the role of educational leaders had evolved, and the standards needed to be updated. The NPBEA's membership organizations consist of the American Association of College Teacher Education (AACTE), the American Association of School Administrators (AASA), the Council for the Accreditation of Educator Preparation (CAEP), the Council of Chief State School Officers (CCSSO), the National Association of Elementary School Principals (NAESP), the National Association of Secondary School Principals (NASSP),

the National Council of Professors of Educational Administration (NCPEA), the National School Boards Association (NSBA), and the University Council for Educational Administration (UCEA) (NPBEA, 2015). Of the ten standards, ethics is prominently positioned in Standard 2, which states:

Effective educational leaders act ethically and according to professional norms to promote each student's academic success and well-being.

Effective leaders:

- a) Act ethically and professionally in personal conduct, relationships with others, decision-making, stewardship of the school's resources, and all aspects of school leadership.
- b) Act according to and promote the professional norms of integrity, fairness, transparency, trust, collaboration, perseverance, learning, and continuous improvement.
- c) Place children at the center of education and accept responsibility for each student's academic success and well-being.
- d) Safeguard and promote the values of democracy, individual freedom and responsibility, equity, social justice, community, and diversity.
- e) Lead with interpersonal and communication skills, social-emotional insight, and understanding of all students' and staff members' backgrounds and cultures.

f) Provide moral direction for the school and promote ethical and professional behavior among faculty and staff (NPBEA).

By position, and, more importantly, specificity, the concept of ethical leadership was emphasized. However, in the six years since the creation of PSEL, despite a presentation to the New York State Board of Regents and the development of a crosswalk in 2017, there has not been any discussion among school administrators regarding enforcement or discipline of any administrators in New York State based on violations of the standards. Nor has there been professional development offered to or required of existing administrators (See Appendix H for the complete list of PSEL).

The Superintendency

In order to comprehend the significance of why ethical standards for the chief school administrator are critical, it is essential to demonstrate the significant scope and scale of the role of the superintendent of schools. In New York State, the superintendent of schools is the chief officer of a school district. Historically, the title of superintendent of schools has also been called the district principal, supervising principal, or principal of the district. The superintendent is not a member of a school board and may not vote on matters before the board but has the right to speak on all matters before the board (NYSSBA, 2020, p. 111). The superintendent is required to take an oath of office. The school board must evaluate the superintendent annually and the evaluation must be available for public view by September 10th (p. 112). Superintendents serve at the pleasure of the school board and may have contracts, although not required, for three to five years that outline the role and expectations.

Under New York State Education Law section 1711 (2), superintendents of schools have the following powers:

- To be the chief executive officer of the school district and the educational system, and to have the right to speak on all matters before the board, but no vote.
- To enforce all provisions of law, rules, and regulations relating to the management of the schools and other educational, social, and recreational activities under the board of education.
- To prepare the content of each course of study authorized by the school board.
The content of each such course shall be submitted to the board for its approval, and, when thus approved, the superintendent shall cause such courses of study to be used in the grades, classes, and schools for which they are authorized.
- To recommend suitable lists of textbooks to be used in the schools.
- To have supervision and direction of associate, assistant, and other superintendents, directors, supervisors, principals, teachers, lecturers, medical inspectors, nurses, claims auditors, attendance officers, janitors, and other persons employed in the management of the schools or the other educational activities of the district authorized by Educational Law and under the direction and management of the school board; to transfer teachers from one school to another, or from one grade of the course of study to another grade in such course, and to report immediately such transfers to the board for its consideration and actions; to report to the board violations of regulations and cases of insubordination, and to suspend an associate, assistant, or other superintendent, director, supervisor, expert, principal, teacher, or other employee until the next regular meeting of such

board, when all facts relating to the case shall be submitted to the board for its consideration and action.

- To have supervision and direction over the enforcement and observance of the courses of study, the examination, and promotion of pupils, and over all matters pertaining to playgrounds, medical inspection, recreation, and social center work, libraries, lectures, and all other educational activities under the management, direction, and control of the school board (p. 114).

Superintendents must have school board approval to initiate legal proceedings on behalf of the school district (p. 115). A superintendent's contract may be terminated through non-renewal. Attention must be paid to extensions, roll-overs, or evergreen provisions with the superintendent's contract and follow due process. Due process involves at a minimum the right to receive written charges, to respond to those charges, to be represented by counsel, to have a formal hearing, to produce evidence, to cross-examine witnesses, and to obtain a hearing transcript, formal written findings, and continued pay until the next meeting.

Characterize

The role of superintendent of schools is a calling that can profoundly impact the students, staff, and community as a whole (Orr, p. 6). Orr (2006) noted that in 2000, the average age of a superintendent was 52 (p. 2). She further stated that the tenure for superintendents is shorter than in previous decades, and that rates of turnover are increasing. This was partly attributed to district size since managing larger district is perceived as more difficult. There are also fewer people going into the superintendency and for shorter periods. However, pressures of the position have taken their toll on many

superintendents, which has led to reluctance by other administrators to pursue open superintendent positions when they become available.

Training in Ethics

Successful leadership practices among new superintendents included collaboration, attention to policies and interests at the local and state levels, forming relationships with the community, and improving district structures (Orr, p. 2). Orr's work determined that communities are changing in terms of economic and academic needs, health and safety require greater preparation and attention, unilateral decisions are no longer acceptable, consensus building is critical, and recruitment, mentoring, and retention of staff and leadership are of the utmost importance (p. 10). Superintendents must learn the conditions, culture, and expectations of the community in order to meet their needs and define one's vision and approach (p. 16). Moore's (1996) research supported these same conclusions a decade prior. She explored the leadership approaches of superintendents, response to their initiatives by the community, and changes in practice. Superintendents used organizational structures to advance shared understandings and actions among the members of the community.

Research on ethics among superintendents of schools indicates that we know that ethical violations exist in several areas within the field of education worldwide. We also know that the study of ethics is typically embedded in the course work of most administrator preparation programs. However, we do not know the degree to which a code of ethics could have potentially prevented future ethical violations by administrators specifically. Smith (2014) emphasized the importance of ethics in training new teachers and the continued professional development of veteran teachers. The authors note that

ethical behaviors are essential to maintaining public trust (p. 271). Training in ethics is also critical to the development of educational leaders.

Ethical Issues in Education Are Global

Feng-I (2011) conducted a study of school leaders in Taiwan. Frameworks used in the study included utilitarianism, justice, care, critique, and virtue. The results concluded that most school leaders used justice as their ethical orientation (p. 328). However, the study indicated that the school leaders were influenced by Confucian ethics (p. 330). Curiously, the application of the results of this study may yield to the identification of a similar ethical influence among superintendents in New York State. From there, preparation programs may connect the attributes in American society that guide superintendents toward an ethical course of action.

Eyal, Berkovich, and Schwartz (2011) conducted a study of fifty-two schools in Israel. The study reviewed the ethical paradigms used by school administrators when resolving ethical issues. An instrument was developed to determine the ethical paradigms (p. 396). Two negative factors emerged. The first found correlations between fairness and utilitarianism. The second found correlations between community values and care (p. 411). Özan, Özdemir, and Yirci (2017) conducted a study in Turkey. The study intended to determine the ethical behavior of school leaders. The difference in this study is that the determination of the ethical behavior of school leaders was surveyed from the perspective of teachers (p. 161).

With the advent of the internet to the explosion of social media, ethical issues have developed in educational technology. Research has demonstrated that the issues are a global concern (Olcott, Farran, Echenique, Gallardo, & Martinez, 2015). In addition,

the issue of ethics in educational technology has presented challenges for education technologists (Mayes, Natividad, & Spector, 2015). The highest incidents requiring discipline in public schools in New York are related to cyberbullying (New York State Education Department). This point has led to the development of codes of conduct for administrators, teachers, and students in the appropriate use of technology.

Although it is assumed that instances of cyberbullying only occurred between students, studies have indicated that there is also an increase of bias-related issues among employees directed at their co-workers and the students. Ethical issues related to the treatment of students by administrators and teachers plague the educational system. Studies have concluded that there is an inherent bias in the treatment of students (Cogaltay & Karda, 2016). There has been significant emphasis on the treatment of immigrant students and teacher apathy in recent years (Cortez, Sorenson, & Coronado, 2012). Racial attitudes among educators were also evidenced in the research (Forman & Lewis, 2015). However, while board of education policies and human resource laws cover many instances of inappropriate behavior, the topic of unethical practices, such bias treatment by employees toward one another and toward the students, needs to be incorporated in the ethical standards for administrators.

Ethical Leadership

An ethical leader must model the principles of self-awareness, reflective practice, transparency, and ethical behavior. Self-awareness is the awareness of one's personality and individuality. Gorton and Alston (2012) emphasized the importance of effective communication as one of the critical factors in self-understanding. Understanding who you are and how your personality can help or hinder situations is part of the reflective

practice. The expectation in all the evaluative models for teachers is that they engage in the reflective practice of their teaching. The same must be valid for administrators.

Administrators must be transparent and free of pretense and deceit when interacting with all the constituencies in the school community. An administrator can establish a culture where collaboration and trust are the norms and not the exception. According to Gorton and Alston (2012), ethical action treats all people equally and fairly. To be an ethical leader, an administrator must practice ethical behavior.

Ethical behavior is conforming to a code of acceptable standards. Administrators can become ethical leaders by following the principles of ethical leadership. Matthew Lynch cited the Eight Principles of Ethical Leadership created by George Marshall. They included:

1. Personal Courage
2. Public Interest Ahead of Self
3. Self-Control
4. Task and Employee Centeredness
5. Recognizing Talent
6. Requiring High Ethics from Everyone
7. Sensitivity and Understanding
8. Inclusiveness (Lynch, 2015)

When applied to an educational setting, these standards can create the desired culture as articulated in the district's vision. Educators, not just administrators, must have the fortitude to do their work. They must care more for the students they serve than they care for themselves. They must not give in to the impulse of quick fixes or the path of least

resistance. Educators must keep the students and their success as the focus.

Administrators must tap the talents and abilities of their fellow administrators and staff and work to resolve issues collaboratively. The concept of ethical behavior applies to everyone, including administrators, teachers, staff, parents, and students. As concluded by Douglas Hermond (2006) in his research on ethical leadership, "it is imperative that leaders continue to lead society by promoting ethical standards for learning to occur in schools" (p. 4).

Shurden, Santandreu, and Shurden (2010), in their work entitled "Ethic's Askew," noted that teachers, and subsequently administrators, are not always aware that their actions have a moral impact on students. The purpose of the study was to determine students' perceptions of ethical behavior by their instructors. The participants included business students from a small public university in a southeastern state in the United States (Shurden et al., 2010, p. 54). One hundred fifty-eight students were selected among eight business courses. One hundred twenty-two questionnaires were received with a response rate of 77.2 percent.

The research methodology was a case study (p. 53). College students from eight courses were surveyed using a sixteen-question survey. Students' responses were measured along a five-point Likert scale related to their perceptions of a project assignment (p. 55). Students were asked classification questions such as gender, grade level, and degree program (p. 54).

Shurden et al. (2010) stated, "Previous research on ethical dilemmas in teaching reveals that most teachers are not always aware of the moral impact of their actions" (p. 53). The study concluded that 71 percent of undergraduate students surveyed believed

ethical decisions could be taught in school (p. 54). The project survey results reached conclusions on the effectiveness of the communication and organization of their instructors. "Sixty-nine percent of the students surveyed strongly disagreed that the project was planned out carefully by the instructors" (p. 55). Of particular interest and connectivity to my research was how professors and students dealt with a conflict over ethical issues in the class. Suggestions to benefit instructors included determining information crucial to the ethical response, developing principles, and constructing ethical arguments that support responses in situations.

The connection of this article to my research may seem unclear. The article will be helpful in the analysis of perceptions of students in college courses. Although these students are not superintendents in an administration preparatory program, the data provides a perspective on how professors are perceived and how instruction on ethics is desired even among undergraduate student populations. The methods and processes used may be compared and, perhaps, replicated or adapted to garner information from administration preparation programs. The data from this study can support the need for ethical studies embedded in the preparatory programs for any degree, especially education administration programs.

In a case study by Cortez, Sorenson, and Coronado (2012), relevant scenarios were provided for training staff to address instructional challenges and administrative interventions relating to immigrant students. The necessity for such training is indicative of issues of how we treat particular populations in our schools with different standards. The liberation of trends in racial attitudes by certain races does not mean that racial intolerance is automatically improving if it changes (Forman & Lewis, 2015). District

leaders must be aware of the issues within their district to fully comprehend the impact of their decisions.

According to Sun, Chen, and Zhang (2017), the purpose of the study was "to identify and compare the antecedents fostering transformational (school) leadership in the context of both the U.S. and China" (p. 2). The research study was conducted over 20 years in several schools and districts in both the United States and China. From the United States, the authors examined studies on 95 pairs of managers in a nonprofit human resources organization (Krishnan); 55 superintendents, 62 deputy, assistant, and associate superintendents, and 720 principals from West Virginia (Daniel); 320 infantry leaders (Dvir & Shamir); 96 administrators and 2,764 teachers (Leithwood & Janis); 25 school administrators (Lussiez); 30 principals and 15 teachers (Herbert); 72 teachers from Desert Unified School District (Stoltzfus); 76 principals and superintendents from Illinois (Saxe); 193 international school leaders (Keung & Rockinson-Szaphiw); 30 pre-service librarians from Florida (Smith); and 116 teachers from Kansas (Davidson) (p. 9). In China, the authors researched studies from 85 managers from business (Meng); 203 managers from business (Meng); 158 principals and school administrators of secondary schools (Chen); 251 managers (Han); 234 staff members from business (Li); 208 leaders and staff from business (Li, Duan, & Zeng); 328 staff from business (Dou), and 281 project leaders (Wang, Wang, & Wang); 408 primary and secondary teachers (Wang, Huang, & Feng); 35 kindergarten principals and 360 teachers (Ji); 211 staff members (Song, Chen, & Qin); and 236 staff, administrators and managers (Wang) (pp. 10-11).

Sun, Chen, and Zhang conducted a comparative case study of Chinese and American educators. The data collection for this article was substantial. Sun et al.

examined existing studies on the concept of transformational leadership. The research was conducted through survey and direct observation through experiments in 22 schools and districts in both countries over 20 years. The authors refined and targeted descriptors from existing literature. A cross-study analysis was used to identify studies for inclusion and compare and identify similarities of transformational leadership in both countries. Finally, themes were identified, compared, and discussed.

Evidence demonstrated the positive impact of transformational leadership on school outcomes (Sun, Chen, and Zhang, 2017). Sun, Chen, and Zhang (2017) stated that “as a promising model of leadership, transformational leadership has been proposed and researched for two decades in the USA and about one decade in Mainland China” (p. 20). The study by Sun, Chen, and Zhang (2017) concluded the following: Numerous factorial studies in the 1990s found variations in factor outcomes, but the transformational leadership factors of idealized influence (charisma) and inspirational motivation, intellectual stimulation, and individualized consideration held up (p. 3). “Transformational school leadership has the potential to suit diverse national and cultural contexts” (p.1). Therefore, the intrinsic motivation for performance was more often due to the personality of the individual rather than their intellect. The research study was essentially empirical because Sun, Chen, and Zhang concluded directly from experiences and surveys conducted by educators in the field throughout the research (Schreiber and Anser-Self, 2011). The implications of this philosophy are also significant in, foremost, linking the eastern philosophical viewpoints of China to the western philosophical viewpoints of the United States.

The connection between this study and my research is with the concept of transformational leadership. In the initial studies conducted in my prior program and through courses at St. John's, the concept of transformation leadership was discussed. During interviews in the Quantitative and Qualitative courses, superintendents often used the term "transformational leader" when describing their ethical principles. The research from Sun, Chen, and Zhang is one of the most extensive bodies of data discovered thus far in exploring the literature on the topic of transformational leadership and ethics. This study would help research district culture and instructional leadership. There is a direct correlation between this article and the research question on the impact of ethics in education.

Decision Making

Influential district leaders can lead by example for teachers and students as they navigate the multitude of ethical decisions they encounter daily. Administrators serve in various roles, including leaders, managers, counselors, and communicators (Gorton & Alston, 2012). "The moral codes and ethical practices in educational administration" have been grounded in principles dating from the Industrial era (Kumar & Mitchell, 2004, p. 128). These principles are loyalty to the organization, rational or analytical assessment and deployment strategies, and the individual's obligation to the organization (Kumar & Mitchell, 2004). As administrators tend to isolate themselves from members of the organization, they may efface the "personhood of individual members" and reduce "people to categorical traits," which silences members of the community from fully participating in or being aware of the administrative decision-making process (Kumar &

Mitchell, 2004). This censoring has led to the mistrust of the administrative decisions by teachers, parents, and students.

In their research, Kumar and Mitchell (2004) further stated, "Administrators foster and erect impenetrable legal walls of policies and codes that deter, stifle, or punish any individual impulses that conflict with or challenge the pervading organizational morality" whether or not that impulse is morally right (p. 129). The more distant an administrator becomes from the moral decision, the easier it is to dismiss, discount, or discard people (Kumar & Mitchell, 2004). The distance allows someone to feel that the ends justify the means. While holding to the same standard, the ethical application of these codes is lost. The effacement of individuals allows administrators to dehumanize those they work with (teachers) and those they work for (students). According to Kumar and Mitchell (2004), when this occurs, "the members of the community lose their moral consideration and their moral capacity" (p. 132).

Societal demands to make education more like a business have caused further deterioration of ethical practices. The use of business managerial governance in education has encouraged a focus on efficiency, quick fixes, and surface solutions. Due to the demands of society at large, education is expected to produce all the necessary skills for an effective workforce. It is also expected to correct society's ills such as poverty, hunger, moral judgment, and bad parenting. The use of business managerial strategies in an education setting to meet the goals of "efficiency, quick fixes, or surface solutions" will only deteriorate morals (Kumar & Mitchell, 2004, p. 143). Hierarchical levels in education need "unfettered communication across" all levels to effectively encourage and sustain democratic processes in the educational setting. Only in this way

can unethical or immoral decisions that negatively impact educational institutions be avoided. According to Gorton and Alston (2012), more recent research has concluded that the administration of educational organizations is far more complex than believed earlier, and the thinking used in decision-making processes is significantly different from that of scholars and researchers (p. 314-315). The ethical actions of administrators can be learned or incorporated in training programs in the same manner that is being instituted with ethical questions in other fields such as the sciences.

Although not explicitly stated, the purpose of the study by Reardon was to determine the effectiveness of the Carnegie Project on the Education Doctorate (CPED) by studying participants in the Ed. D. program at Virginia Commonwealth University. Reardon (2013) believed that leaders operate under sound ethical principles and that exceptions to this concept are the reason the study of ethics should be incorporated into leadership programs (p. 286). The participants were noted in Section 3-Evidence of Effectiveness of the research. The participants consisted of 16 students from the Ed.D. program at Virginia Commonwealth University who had taken part in the EDLP 705 course over two semesters. All participants were from Pre-K-12 programs (p. 290). No further details of the participants were provided.

The methodology appeared to be a case study, although not explicitly stated in the study. In Section 1-Course Context, Reardon describes the CPED course. Specifically, the context-focused on "Frameworks for Decision-making: Ethical Perspectives" and equity, ethics, and social justice (p. 287). Section 2-Key Course Components outlined the conceptual framework used in the course and study and the assessment. The Multiple Ethical Paradigms was the conceptual framework and incorporated justice, critique, care,

and the ethic of the profession (p. 287). The Spangler Ethical Reasoning Assessment (SERA) was used as the survey tool with the 16 participants (p. 288). SERA contains items based on research in rational decision and several ethical theories, typically along a seven-point Likert scale. The instructional methods surveyed included the following elements: Robust Conceptual Framework; Socratic Circles; current examples; movie-based discussions; private journaling; and a performance arts-based culminating project (p. 288-289). The survey utilized open-ended questions and all responses were anonymous (p. 290).

The findings were noted in Section 3-Evidence of Effectiveness. Concerning the Robust Conceptual Framework, ten participants did not respond, and six did not remember the Multiple Ethical Paradigm. Fifteen of the participants found the Socratic Circles favorable. Twelve of the participants found current examples favorable. Fifteen of the participants found movie discussion favorable. The responses to private journaling were mixed. Of the participants, two were lukewarm, six were positive, and eight were enthusiastic. Similarly, four participants were enigmatic, and twelve were enthusiastic (p. 290). Reardon concluded that the best practices used in engaging students in ethics education were validated by the results.

The connection to my research is relatively direct. My research focuses on the feelings of superintendents toward their preparation in ethics while studying to become school leaders. Reardon's research specifically focuses on incorporating the Carnegie Project on the Education Doctorate in a leadership training program at VCU. Although the sample size is relatively small (16) and applied to students presently in an administration preparation program, it would be interesting to determine if the study by

Reardon could be replicated in other school leadership programs. The SERA may offer a possible research tool for my dissertation as I explore the sentiments of current superintendents toward their preparation to become school leaders.

Proactive Strategies-Ethical Training

As advancements in biology have led to cloning, ethical battles have emerged to argue whether cloning is ethical. Just because we can do something does not imply that we should do something. This precept swirled around other controversial scientific studies like the research conducted for the atomic bomb. Similarly, in education, ethics have now influenced “the conduct of decision-makers who deal every day with changes in societal values” (Langlois & Lapointe, 2010, p. 2). The question is whether educators can learn to be ethical.

The purpose of the Langlois and Lapointe (2010) study was to describe the impact of the TERA training program (details to follow) using Starratt’s three-dimensional model on ethical decision-making and competencies (Langlois & Lapointe, 2010, p. 147). There were two research questions for this study:

RQ1: What is the impact of the TERA program on ethical decision-making?

RQ2: What is the impact of the TERA program on educational leadership competencies?

The participants in the study were 30 educational administrators from the provinces of Quebec and Ontario in Canada. They were divided into three groups. The first group comprised educational leaders from the same school district but not from the same professional organization in the province of Quebec. For Group 1, the participants, who spoke French, included five secondary school principals; five school board officials

including a director of human resources; two coordinators, a director of material and technological services, a finance director; and one school superintendent (p. 151). The two other groups were also educational leaders who belonged to the same professional association from Ontario. Group 2 included English-speaking participants and comprised four teachers; five school principals; one vice-principal; one member of the Department of Education; and one department head (p. 151). Group 3 included French-speaking participants and comprised seven school principals; two superintendents; and four lead teachers (p. 151).

Over seven years, Langlois and Lapointe offered training in a program that they developed entitled Trajectory: Ethics, Responsibility, and Authenticity (TERA) to educational administrators in Canada (p. 151). Then they studied three groups over three more years using a mixed-methods approach combining quantitative and qualitative research. Before the first and during the last sessions, members of each group answered a questionnaire (p. 151). Demographic information was provided in the areas of gender, age, number of years teaching, number of years in educational leadership, language, and professional association membership (p. 151). The questionnaire results were analyzed using SPSS and included descriptive statistics, such as frequency and mean scores and standards of deviation (p. 151). Group interviews (focus groups) and subgroup interviews were conducted for the qualitative portion of the research. The data from the group interviews were analyzed for themes (p. 152). No further description of the themes was provided.

Qualitative results demonstrated that Group 1 participants could analyze a situation and delineate their ethical judgment (p. 152). Groups 2 and 3 showed that the

participants engaged in deeper discussions of their values after the training (p. 152). The TERA program led to a better understanding of responsibility among the participants (p. 153). The training led to the acquisition of new knowledge in developing their ethical principles (p. 153). Results of the quantitative analysis concluded that participants in the pre-test rarely possessed all three ethical dimensions of knowledge, volition, and action (p. 155). The post-test conclusions demonstrated an increase in the presence of ethical dimensions. There was no citation of quantitative statistics in the written portion of the research. The study concluded that stronger morals improve ethical awareness, judgment, responsibility, and professionalism (p. 155).

The research conducted involved the feelings of superintendents toward their preparation and training when dealing with ethically challenging situations. In the research by Langlois and Lapointe, training in ethical dimensions increased the participants' awareness and use of ethics. The study provided extensive information regarding educational administrators' ethical processes. Although validation of the TERA program would need to be conducted, since the researchers in this study developed it, the findings are significant in guiding and motivating the necessity for further research in the development and training of ethical principles.

Conclusion

The literature concerned with ethics within the field of education demonstrated that there do exist issues in how educational leaders, such as superintendents, addressed ethically challenging situations. The issues exist universally, both within the United States and in other countries. Buchanan (2013) believed that superintendents of schools were viewed as leaders within their communities who were thought to make

their decisions in terms of ethical values. This was supported by Bjork, Kowalski, and Browne-Ferrigno (2014) in their work on the superintendency in which they believed superintendents had acquired the fifth role as a communicator. The influence on a superintendent's ethical decision-making process may come from either their training or their internal ethical process developed over time. Devore and Martine (2008) felt that superintendents exercised an ethic of care and concerns for others. They must care about others before themselves and place their egos aside for the good of the students and the school community. Hoyle (1993) determined that 75 percent of superintendents were satisfied with their preparation. However, almost 30 years have passed since this research was conducted, and the results may be different if the same study was conducted today. Robicheau and Haar (2008) confronted the concept of how well educational leaders are prepared to assume their roles based upon the challenges they have yet to experience. Wilson (2010) noted ethical behavior as one of nine common research practices of successful school superintendents. Therefore, a new study into the sentiments of superintendents today is needed to determine the extent to which present superintendents apply a formal code of ethics or rely on some other experience when presented with ethically challenging situations.

CHAPTER 3

Introduction

Wamser, Homes, and Zahm-Duncheon (2014) recommended developing a clearly defined ethical policy (p. 129). However, the research emphasized the need to train new teachers in the code prior to entering the field as a teacher (p. 130). Tubbs, Heard, and Epps (2011) recommended using ELCC standards to prepare principals with an emphasis on ethics (p. 17). Before attempting to identify the method to improve the system, it is critical to examine the origins of the issue among administrators. Therefore, the research topic seeks to determine the experience of K-12 administrators with training and professional development.

There are several methods to recruit participants. Recruitment must adhere to policies and procedures, be feasible, have informed consent based on age and readability, protect against conflict of interest, and maintain data security. The leading group that can be recruited to participate is superintendents. As previously noted, informed consent and conflict of interest are two factors that impact ethical concerns. In addition, the researcher must be careful to avoid fabrication, inappropriate research methods, plagiarism, poor data analysis, failing to get essential research data, maintaining inadequate research records, using inappropriate data analysis or statistical methods, passing speculation as fact, and gross negligence.

Methods and Procedures

Methodology

Once again, Creswell and Poth (2018) note that a Phenomenological Research Methodology allows for the extraction of themes and creates links (p. 11).

Phenomenological research seeks common meaning for several individuals of their lived experience (p. 74). It has as its roots a robust philosophical component and encompasses different philosophical arguments.

Phenomenology has defining features that make it unique among other research methodologies. Phenomenology emphasizes a phenomenon to be explored (p. 76). The researcher's experiences lead to the emphasis of the study, but the researcher is not part of the study. Data collection involves interviewing individuals who have experienced the phenomenon. The analysis of the data follows systematic procedures from narrow to more significant connections. Transcendental Phenomenology provides descriptions of the participants and collects data from several individuals who have experienced the phenomenon.

The systematic steps in Phenomenological Research begin with determining if this is the best methodology for examining the phenomenon, the interest and description of the phenomenon, and the broad philosophical assumptions (p. 78). The collection of the data would require several in-depth interviews. Analysis of the data from the interviews attempts to generate themes and bracket them so that textual and structural descriptions can be developed. The essence of the phenomenon can be reported and presented.

Moustakas (1994) believed that phenomenological research obtains comprehensive descriptions of experiences so that the essence of the experiences can be analyzed in a reflective manner (p. 13). The aim is to determine the meaning of the experiences from the individual in order to provide a complete description. The steps in phenomenological research include forming the problem and question around the

phenomenon, generating data, and analyzing and interpreting the data (p. 15). Interviews that incorporate informal, interactive, open-ended questions are critical to gathering the essence of the experience of the phenomenon from the individual being interviewed (p. 114). The challenge the researcher is to gather meaning from the data based upon intuition and self-reflection (p. 27).

Research Questions

The research questions for this study are:

RQ1: To what extent do superintendents in New York State feel that their administrative certification programs prepared them for the ethical challenges they faced in their positions?

RQ2: How would superintendents in New York State describe the value of a code of ethics exclusively for administrative practices when making decisions regarding ethically challenging situations?

RQ3: What experiences would superintendents feel prepared them to contend with ethically challenging situations beyond the scope of formal ethical standards within the field of education?

Instruments

Ethical issues transcend several professions and fields throughout the world. The educational profession has had issues with ethical violations in several areas. To ameliorate ethical violations in other professions, experts have proposed and developed codes of ethical practices. Kapstein (2015) furthered the research into ethics programs and how they can transcend into other fields such as business and health care (p. 429).

Examining ethical practices in education led Wamser, Homes and Zahm-Duncheon (2014) to discover that many states did not possess a code of ethics for educators. Furthermore, among several states with existing codes of ethics, none were explicitly applicable to administrative practices. Cranston and Kusanovich (2014) noted the necessity to develop ethical capacity among administrators (p. 151). Cranston and Kusanovich used "applied drama" to demonstrate scenarios that trained educators to respond to ethical issues in their positions (p. 151).

If a code of ethics in other professions, such as business and health care, has reduced ethical issues, perhaps a code of ethics that is specifically designed for educational administrators will have the same effect. Wamser, Homes, and Zahm-Duncheon (2014) recommended developing a clearly defined ethical policy (p. 129). Since the research emphasized the need to train new teachers in the code prior to entering the field as a teacher (p. 130), the same emphasis can be applied to administrators.

In order to validate the research, the instrument to be used in this study is the *Ethics Awareness Inventory (EAI)*. The *EAI* was developed in 1995. However, for the instrument to be used effectively and appropriately for interviews in a Phenomenological study, it was adapted. Both educational institutions and businesses have used it for more than 500,000 participants. It is an ethics assessment instrument and a process to develop competency in ethics. This instrument will be utilized in the interview process to establish themes and develop an interview protocol which can gather data related to the ethical viewpoints of each superintendent (see Appendix C).

The potential ethical challenges in the sampling plan and how they will be mitigated include conflict of interest, bias, and breaches of confidentiality. To avoid a

conflict of interest, none of the researcher's present or former schools or districts will be used in the study. Lastly, one of the central tenets of ethical research is to do no harm. To avoid any breaches of confidentiality, the security of the data will be ensured, and anonymous surveys will be conducted so that the participants are fully protected.

Law, Walker, and Dimmock (2003) developed an Ethical Leadership Questionnaire utilizing advanced surveying techniques and reliability testing. Three types of ethics were identified in the process (p. 329). Similarly, for this study, the extrapolated themes from the EAI will be used to formulate questions that are correlated to the themes. Creswell (2014) noted the importance of piloting an independently developed interview protocol. Miles, Huberman, Saldana (2014) recommended that the researcher determine key factors to the extent of prior instrumentation. These factors include context, concepts, intent, emphasis, case(s), comparability, complexity, generalizing, researcher impact, and type of study (p. 38). Therefore, the interview questions will be piloted with a randomly selected superintendent from a district with varying levels of demographics. Table 1.1-Interview Question Matrix demonstrates the linkages between the three research questions and the interview questions.

Figure 2

Interview Question Matrix

| Interview Question | RQ1 | RQ2 | RQ3 |
|--------------------|-----|-----|-----|
| IQ1 | ✓ | | |
| IQ2 | ✓ | | |
| IQ3 | | | ✓ |
| IQ4 | | | ✓ |
| IQ5 | ✓ | ✓ | ✓ |
| IQ6 | | | ✓ |
| IQ7 | ✓ | ✓ | ✓ |
| IQ8 | | | ✓ |
| IQ9 | | | ✓ |
| IQ10 | ✓ | ✓ | ✓ |
| IQ11 | ✓ | ✓ | ✓ |
| IQ12 | | ✓ | |
| IQ13 | | ✓ | |
| IQ14 | | ✓ | |
| IQ15 | ✓ | ✓ | |
| IQ16 | ✓ | ✓ | |

Setting

The population for this study included Superintendents of Schools from the 770 school districts in New York State as of the 2020-21 academic school year. New York is the fourth largest state in the United States. The population of New York in 2018 was 19.54 million. There are presently approximately 2.6 million K-12 students in New York State (New York State Education Department, *School Report Card*). The population is diverse in terms of socioeconomic, race, ethnicity, geography, and political composition. The research will be primarily conducted in two counties within New York State: Nassau and Suffolk.

Participants

The sample for this study was six superintendents of schools from the Nassau and Suffolk Counties in New York State. The superintendents were randomly selected from among the 126 school districts in Nassau and Suffolk counties using the New York State School Boards Association published listing of school administrators for the Long Island region. Volunteers were randomly selected from these regions based upon a representation of high-income to low-income districts; rural, suburban, and urban districts; male and female superintendents; and years of administrative experience. Interview questions based upon the themes from the *EAI* were utilized to conduct the study. It will be administered to each of the following volunteers.

Superintendent #1

Superintendent #2

Superintendent #3

Superintendent #4

Superintendent #5

Superintendent #6

Data Collection Procedures

In a Phenomenological study, it is essential to find individuals who have experienced the phenomenon (Creswell & Poth, 2018, p. 150). In order to discover school district administrators who have had experience dealing with ethical challenges, it was necessary to consider the hierarchal administrative structure. Although it can be

assumed that every school district administrator may have experienced some degree of challenge to ethical standards, out of the over 7,000 administrative titles in New York State, the most consist title in every district, and required under New York State Education Department Regulation, is the title of Superintendent of Schools.

Once again, the instrument to be used in this study is the *Ethics Awareness Inventory (EAI)*. The *EAI* was developed in 1995. Both educational institutions and businesses have used it for over 500,000 participants. It is an ethics assessment instrument and a process to develop competency in ethics.

The *EAI* has three sections that measure ethical competency:

1. Awareness
2. Articulation
3. Application/Action

The Awareness section examines an individual's ethics within four ethical perspectives. The Articulation section examines an individual's communication of the ethical reasoning and values involved in their decisions. The Application/Action section examines an individual's ability to use four steps in ethical decision making. Additionally, the *EAI* provides examples of each step in an ethical process. The newest addition of the *EAI* provides graphs of scores, a list of significant values, comparisons of each perspective and reasoning, and an example.

The Awareness section further develops three subcomponents:

1. *EAI* personal ethics assessment instrument with summary and graphs of scores

2. an Ethics Awareness Profile
3. Values underlying the perspective (The Williams Institute)

The *EAI* instrument measures responses to twenty-four statements on the ethical principles of Character, Obligation, Results, and Equity (CORE). These will serve as the themes in the development of the questions to be used in the interview process. The *EAI* has been validated and determined to be statistically reliable. The CORE Ethics Awareness Profile has four components: Ethical Perspective; Ethical Style; Frustrations You Face in Addressing Ethical Dilemmas; and Articulation – Communicating Your Perspective. The Values Underlying Your Ethical Perspective provides an ability to ascertain the respondent's view of ethics.

The Articulation section studies how the perspective of ethics is communicated. The communication is labeled in three areas: Key Concepts, Key Phrases, and Individual Style. The improvement of the articulation of individuals' ethical perspectives to others is the focus of this section.

Lastly, the Application section delineates four steps in ethical decision making. This is where the participants in the instrument demonstrate how they applied what they knew and what they learned. The steps are as follows:

1. Who will be affected by my decision?
2. What will be the impact of my decision?
3. What ethical perspective is reflected in my decision?
4. Can I justify my decision on ethical grounds?

These questions may be utilized for further study after the initial survey is conducted.

There were significant implications within the information discovered in the literature regarding the general topic of ethics in educational leadership. The literature demonstrated that ethical concerns in education were a global concern. Ethical issues transcended educational topics such as technology. However, many ethical issues could be found among the treatment of students. It was felt that only through professional development and training could the elimination of ethical issues be achieved.

There are several challenges to the process. One major challenge includes getting enough participants to garner sufficient data in the study. In my current role, I receive all research requests. I forward the requests to the Professional Development Committee, which approves the request. Despite the approval, participation in the research is often optional. From a researcher's perspective, this is the most significant hurdle and disappointment. Approval does not mean participation.

According to Miles, Huberman, and Saldana (2014), qualitative sampling is purposive (p. 31). I randomly selected six current superintendents of schools based upon the significance of the role of the superintendent of schools: every school district in New York is required to have this position under education law; it follows that any major ethical violations would probably be brought to their attention. I contacted them via email and phone calls. The six respondents were selected to conduct interviews. The interviews were conducted in person and over the phone. The in-person interviews were held at a convenient location for the superintendents.

The interviews of the six superintendents were conducted either in person or over the phone. In each instance, the interviews were recorded using an iPhone application. The iPhone is password-protected and the interviews were not uploaded to the cloud. The

interviews were then transcribed using Otter and transferred to a Word document. The document was then be reviewed and cleaned to eliminate errors from the recording to the transcription process. The completed interviews were saved as Supt1, Supt2, Supt3, Supt4, Supt5, and Supt6 and uploaded into Dedoose. Dedoose is also password-protected.

Data Analysis and Coding

To begin data analysis, I analyzed the responses to the 16 survey questions from the six current superintendents that I will interview. I then created a list of codes. After defining each code, I decided which codes should be parent codes and which should be child codes. I will then code the interview question responses using these codes. Miles, Huberman, and Saldana (2014) noted that the Second Cycle Method allows grouping into smaller categorical areas (p. 86). After reviewing the results of my initial coding, I created parent codes and listed the codes under each category. Subsequently, I did a Second Cycle of coding and re-categorize some of my initial codes into the parent and child codes.

In the next step in the data analysis process, I created three descriptors: gender, district demographics, and superintendent demographics. For gender, I analyzed the gender that a person was born into (G1 = Female, G2 = Male). For district demographics, I subdivided the district in which the superintendent currently works into three categories: high wealth (W1), medium wealth (W2), and low wealth (W3). Lastly, I analyzed the number of years of administrative experience the superintendent had acquired into two sub-categories: 0-10 years (N1) or 11-20 years (N2). I linked each of the interviews to the descriptors and analyze the data. Themes began to emerge and “cut across cases” (p. 103).

Trustworthiness

To test or confirm the findings from the research conducted, researchers use a variety of methods. One of the simplest methods to establish trustworthiness is counting. Miles, Huberman, and Saldana (2014) defined counting as determining the consistency of something happening in a specific way (p. 282). The rationale for utilizing this system is that it can rapidly identify themes and codes among a large data batch. It also permits the verification of hypotheses. Numbers are also analytically honest. As the old expression goes, "Numbers do not lie. " It also protects against bias. By using Dedoose, I determined the number of times codes appeared in the interviews.

Looking for outliers is another reliable means to establish trustworthiness. Miles et al. indicated that they could "test and strengthen" the findings (p. 301). Initially, in this study, it was presumed that all the superintendents are familiar with the PSEL. However, the data was checked for potential outliers.

Lastly, looking for weighting evidence is another way to demonstrate trustworthiness. Miles et al. indicated that some data is better than others (p. 300). After reviewing the results of the interviews and the data from the coding and themes, I tried to determine how some of the questions did not elicit the responses they intended. Contrarily, some of the other questions provided far more of a response than was anticipated. The weights should emphasize the responses in terms of response frequencies over other responses.

Creswell and Poth (2018) described the features of phenomenological studies as exploring a single concept or idea, exploring that phenomenon with a group of individuals, sharing those individuals' subjective experiences, analyzing the responses

from interviews of those individuals, and analyzing and reflecting on common themes and perspectives to determine the essence of the phenomenon (pp. 76-77). Moustakas (1994) noted that phenomenological study, which is this study of the lived experiences of individuals, cannot be explained through analyses because the essence is descriptive and often unique. Van Manen (2014) described phenomenological data as experiential quality so that the essential meaning and understanding of themes can be fully comprehended. Since the lived experiences of the individuals being interviewed are unique, replication of the study in order to triangulate the data would be virtually impossible. However, additional interviews with the superintendents may be necessary in order to obtain further detail and expand on the information provided. The necessity of the additional interviews was not known until the initial analysis of the data was conducted. Piloting the interview questions may ameliorate the quantity of follow-up interviews. The researcher anticipated the questions which required a second interview based upon the results of the pilot interviews.

Research Ethics

The research for this study will be conducted among an adult population. The questions in the interview process may cause some of the participants discomfort as they reflect on situations that were ethically challenging. This study will require the current superintendents of schools to reflect on past experiences to determine if they felt they relied more on their own ethical principles or those presented under a code of ethics. The reflection may cause feelings of pride or doubt depending on their feelings about how those situations were resolved and about the actions that were or were not taken. Nevertheless, Miles, Huberman, and Saldana (2018) noted the importance of informed

consent. The participants are aware of the information the study is attempting to analyze, and they are volunteers (p. 59). Although the study was fully explained when the initial contact was made, proper research protocols called for letters of consent to be submitted to the participants and explained thoroughly (Miles et al., 2018, p. 155). The letter of consent for this study included an explanation of the study's purpose, the participant's rights, including the right to withdraw, risks associated, protection of the respondents' confidentiality, benefits, and signatures. To ensure anonymity, their responses in the recordings of the interviews and the transcriptions will be coded so that their identities cannot be discerned. The transcripts were stored in an electronic file with an encrypted password on an external USB. The names and responses of the respondents were secured in a locked file.

Mitra (2017) stated, "Equity consists of giving everyone the means to be successful" (144). This concept has also permeated my career and my life. However, one might perceive my experiences or background, I passionately believe that the only way for our society to improve is through better educational opportunities for all, across race, class, and gender (148). Equality does not consider where an individual started in this quest (144). Therefore, it is incumbent upon education, especially public education, to be the great equalizer. These ethical viewpoints undoubtedly create a bias in me that has little tolerance for those who abuse power and sabotage the equitable education of all students regardless of background. The key to becoming a more objective researcher was to listen and not judge those I was studying and provide empirical data to make conclusions based on the phenomenon of ethical decision-making.

Limitations

With any research, there are limitations to the study. Creswell and Poth (2018) recommend five to twenty-five for interviews in a Phenomenological study (p. 150). A larger sample size will lend a higher degree of trustworthiness to the findings from the study. The intended number of superintendents in this study will be six. Therefore, the sample size may present limitations.

Another limitation is bias. Larger sample size may have been able to mitigate the potential for cultural bias. In order to address cultural bias in research, Sarniak (2015) notes that researchers must understand cultural relativism. Cultural relativism is a principle that one's beliefs and activities must be viewed based on one's culture. Each of the superintendents' perspectives will be based on their experiences and demographics of the districts where they work. Each district in this study was unique yet, wrought with its challenges.

Role of the Researcher

I am from a socio-economically and culturally diverse community in Long Island, New York. I grew up as the youngest of the eleven children in my family. My family was white, middle class, and owned a data-processing company and a construction company at two different times in my childhood. My friends were often of different socio-economic classes, races, and ethnicities. Many of my family married spouses from other races and ethnicities. This has contributed significantly to shaping my views of the world and the communities in which I have lived and worked.

I have been a classroom teacher, department chairperson, district supervisor, principal, and, presently, an assistant superintendent during my career. The districts in which I worked ranged from high wealth to high need. I was the Principal of Roslyn High School after the worst economic and ethical scandal in the history of public education. I believe my selection for this role was primarily due, among other qualifications, to my ethical viewpoints. Those viewpoints relied heavily on working with people to achieve common goals. I have striven to work collaboratively with every constituency to guide and improve the educational system in each of my positions. Kamrath (2015) determined that collaborative leadership teaches administrators to work with groups and be guided to make collective decisions (113). This process has permeated my strategy when faced with ethical challenges.

The decisions made in ethically challenging situations are most often subjective. Although research aims for objectivity, Banks (1998) noted that it is often unattainable (6). However, we must acknowledge that knowledge can be subjective. My research is dependent on the perspectives of superintendents of schools. To an outsider, the fact that I am a school administrator with an eclectic background may label me as an indigenous-insider since I am socialized within the realm of educational administration and can speak with a degree of authority about the field even though I have yet to occupy the role of a superintendent of schools (8). However, I view myself as an indigenous-outsider since my socialization is also from a community outside of the educational realm, and I can identify with the outsiders' perspectives and viewpoints.

Conclusion

The process for research has been presented. The three research questions were addressed through a thoroughly developed interview process. The setting included superintendents of schools from the State of New York. A Phenomenological study served as the methodology to apply the themes from the *EAI* in the interview questions and analyze the results of the responses within Dedoose. The results were coded twice. A three-part process of validity determined trustworthiness. Attention was paid to ethical research practices with an understanding of the limitations of the study. Finally, the role of the researcher and the inherited biases were considered as the research is conducted. The implementation of the process was set to occur.

CHAPTER 4

Introduction

The participants in the interviews were selected among the superintendents of schools from Nassau and Suffolk Counties in New York State. Six superintendents were randomly selected from the 126 school districts in these two counties. As previously stated in Chapter 3, volunteers were determined based upon a representation of high to low-income districts; rural, suburban, and urban districts; male and female superintendents, and years of administrative experience. Interview questions based on the themes from the *EAI* were utilized to conduct the study. It is essential to describe the participants in the interviews in order to fully comprehend the meaning and significance of their responses. Findings from the interviews will be presented for each of the following research questions:

RQ1: To what extent do superintendents in New York State feel that their administrative certification programs prepared them for the ethical challenges they faced in their positions?

RQ2: How would superintendents in New York State describe the value of a code of ethics exclusively for administrative practices when making decisions regarding ethically challenging situations?

RQ3: What experiences would superintendents feel prepared them to contend with ethically challenging situations beyond the scope of formal ethical standards within the field of education?

Results and Findings

Participants

Superintendent #1 (referred to as Supt1) is female. Her highest level of education is two post-Masters certificates in school district and school building administration. She has been an educational administrator for twenty years and has served as an elementary school principal, an assistant superintendent for curriculum and instruction, deputy superintendent, and superintendent of schools. She has been a superintendent for eight years as of the date of this research. Her present district is considered in the medium range in size (2,500 to 3,500 students enrolled). The district is considered high wealth. However, it has a fourteen percent poverty level. The percentage of students with disabilities is ten. Three percent of the students enrolled are English as a New Language (ENL). The district is considered to be in Good Standing according to the New York State Education Department with a graduation rate of ninety-nine percent.

Superintendent #2 (referred to as Supt2) is female. Her highest level of education is two post-Masters certificates in school district and school building administration, and she is presently completing her Doctorate in Educational Administration. She has been an educational administrator for twenty years and has served as an elementary assistant principal, elementary school principal, an assistant superintendent for curriculum and instruction, and superintendent of schools. She has been a superintendent for two years as of the date of this research. Her present district is considered in the high range in size (3,500 or more students enrolled). The district is considered high need. It has a seventy-five percent poverty level. The percentage of students with disabilities is twelve. Thirty-three percent of the students enrolled are English as a New Language (ENL). The

district is considered to be in Target District according to the New York State Education Department despite having a graduation rate of eight-eight percent.

Superintendent #3 (referred to as Supt3) is male. His highest level of education is a Doctorate in Educational Administration. He has been an educational administrator for twenty-eight years and has served as an elementary school assistant principal, an elementary school principal, an assistant superintendent for curriculum and instruction, and superintendent of schools. He has been a superintendent for five years as of the date of this research. His present district is considered in the medium range in size (2,500 to 3,500 students enrolled). The district is considered medium wealth. The district has a twelve percent poverty level. The percentage of students with disabilities is thirteen. Less than one percent of the students are enrolled in English as a New Language (ENL). The district is considered to be in Good Standing according to the New York State Education Department with a graduation rate of ninety-seven percent.

Superintendent #4 (referred to as Supt4) is female. Her highest level of education is a Doctorate in Educational Administration. She has been an educational administrator for twenty-four years and has served as a director of technology, an assistant superintendent for business, and superintendent of schools. She has been a superintendent for eight years as of the date of this research. Her present district is considered in the medium range in size (2,500 to 3,500 students enrolled). The district is considered medium wealth. The district has a sixteen percent poverty level. The percentage of students with disabilities is sixteen. Three percent of the students enrolled are English as a New Language (ENL). The district is considered to be in Good Standing

according to the New York State Education Department with a graduation rate of ninety-seven percent.

Superintendent #5 (referred to as Supt5) is male. His highest level of education is a Doctorate in Educational Administration. He has been an educational administrator for twenty-four years and has served as a high school chairperson for science, a high school assistant principal, a high school principal, and superintendent of schools. He has been a superintendent for two years as of the date of this research. His present district is considered in the medium range in size (2,500 to 3,500 students enrolled). The district is considered medium wealth. The district has a thirty-five percent poverty level. The percentage of students with disabilities is sixteen. Seven percent of the students enrolled are English as a New Language (ENL). The district is considered to be in Target District according to the New York State Education Department despite having a graduation rate of ninety-seven percent.

Superintendent #6 (referred to as Supt6) is male. His highest level of education is a Doctorate in Educational Administration. He has been an educational administrator for twenty years and has served as a middle school assistant principal, a middle school principal, a high school principal, an assistant superintendent for curriculum and instruction, and superintendent of schools. He has been a superintendent for eight years as of the date of this research. His present district is considered in the medium range in size (2,500 to 3,500 students enrolled). The district is considered medium wealth. The district has a twenty-six percent poverty level. The percentage of students with disabilities is eighteen. Two percent of the students enrolled are English as a New

Language (ENL). The district is considered to be a Target District according to the New York State Education Department despite having a graduation rate of ninety-five percent.

Interviews and Coding

The interviews of the six superintendents were conducted either in person or over the phone. In each instance, the interviews were recorded using an iPhone application. The iPhone was password protected and the interviews were not uploaded to the cloud. The interviews were then transcribed using Otter and transferred to a Word document. The document was reviewed and cleaned to eliminate errors from the recording to the transcription process. The completed interviews were saved as Supt1, Supt2, Supt3, Supt4, Supt5, and Supt6 and uploaded into Dedoose. The interviews were read through in their entirety once. Notes were taken on topics and common themes. Responses to the interview questions were examined based on themes from the *EAI's* four statements on the ethical principles of Character, Obligation, Results, and Equity (CORE).

Each of the interview questions was correlated to the Research Questions. Once again, the matrix was utilized to provide the linkages between the three research questions and the interview questions. The interviews were then re-read. During the analysis of the interviews, parent themes emerged. Each of the superintendents noted their administrative certification preparation programs. All of the superintendents had been in administration for approximately 20 years or more, but the number of years as superintendents varied. The perception of their preparation also varied. The superintendents discussed their perceptions of the value of a code of ethics. The perception ranged from not valuing the PSEL to highly valuing them.

Lastly, the superintendents noted experiences that they had in their lives, education, and through various jobs they had or positions they held in education. Among those experiences that influenced their ethical development, heavy emphasis was placed on education, family values, religious values, and work experiences. Reflections on education went as far back as their childhoods in some cases. Family values represented references to their upbringing, parents, a specific, or their family in general. Religious values were mentioned emphatically by one of the superintendents during responses from several questions. Work experiences permeated all of the responses from the superintendents. They recalled stories as examples of how they managed ethical challenges. The challenges described occurred between fellow administrators, teachers, staff, parents, and students throughout their careers. Several other responses were provided, but were largely independent statements including references to morals and moral compasses, for example. Rather than creating separate codes for each of these independent or singular responses, a unique code entitled “Other” was created.

The data in Dedoose was then coded. Reflecting on the themes from the *EAI*, three parent codes were created: Administrative Certification Preparation; Value of a Code of Ethics; and Experiences. The Child codes under Administrative Certification Preparation were Not Prepared, Somewhat Prepared, and Well Prepared. The Child codes under Value of a Code of Ethics were Highly Valued, Slightly Valued, and Not Valued. Child codes under Experiences included Education, Family values, Other, Religious values, and Work experiences. Three Descriptors were created that represented Gender (Female = G1, Male = G2); Years of Experience (1-10 years = YE1, 11 or more = YE2); and District Standing (Good Standing = G1, Target District = G2). Weighting

was placed on the Administrative Certification Child codes as Not Prepared = 1, Somewhat Prepared = 3, and Well Prepared = 5. Weighting was also applied to the Value of a Code of Ethics as Not Valued = 1, Somewhat valued = 3, and Highly Valued = 5. Statements from each of the interviews were highlighted first to allow for further examination of the statements. The statements were then coded to apply to one of the parent or child codes described.

Research Question 1- To what extent do superintendents in New York State feel that their administrative certification programs prepared them for the ethical challenges they faced in their positions?

All six superintendents discussed their administrative certification programs (see Figure 3). They referenced to what degree the administrative certification programs prepared them for their roles as superintendents. Due to the fact that all of the superintendents were administrators for twenty or more years, their preparation programs proceeded the institution of the PSEL in New York State. However, the superintendents interviewed felt that the course that were required in their programs did address ethically situations.

Two of the three female and one of the male superintendents felt that their administrative certification programs somewhat prepared them for ethical challenges. Two of the three male and one of the three female superintendents felt that their administrative certification programs well prepared them for ethical challenges. However, Superintendent #1 indicated having had “nothing specifically to ethics” in preparation programs. Superintendent #2 reflected, “As we often say to teachers, one can never have enough professional development. It is vital for the superintendent, regardless

of the time on the job, to remain well-read, attend workshops and meetings, and learn from those who have more experience and expertise.”

Table 1

Code Presence

| Code | Supt1 | Supt2 | Supt3 | Supt4 | Supt5 | Supt6 |
|-------------------------------|-------|-------|-------|-------|-------|-------|
| Adm. Cert. Prep. | 1 | 1 | 1 | 1 | 1 | 1 |
| Not Prep. | - | - | - | - | - | - |
| Some- what prep. | - | 1 | - | 1 | 1 | - |
| Well prep. | - | 1 | 1 | - | 1 | 1 |
| Exper. | - | - | - | - | - | 1 |
| Educ. | - | - | - | - | - | - |
| Family values | 1 | - | 1 | 1 | 1 | 1 |
| Other | 1 | 1 | 1 | 1 | 1 | 1 |
| Rel. values | - | - | 1 | - | - | - |
| Work exp. | 1 | 1 | 1 | 1 | 1 | 1 |
| Value of Code of Ethics | - | - | - | - | - | - |

| | | | | | | |
|-----------------|---|---|---|---|---|---|
| High value | - | 1 | - | - | - | - |
| Not value | 1 | - | - | 1 | - | - |
| Some-what value | 1 | - | 1 | 1 | 1 | 1 |

Between the two male superintendents (Supt3 and Supt6) the well-prepared child code was coded seven of the eight times (see Figure 3). Superintendent #3 was emphatic about his course work by stating, “I learned about it in coursework, is having the overall, having an overarching view of what it is you're there to do, and which is to help children.” He further elaborated that “the standards were not in place, but I think I think there was always an ethical dimension to what we were taught.” Superintendent #6 felt, “Education was expected.” He further elaborated, “I had a teacher, my very first administrative course. And I had wonderful teachers along the way, even a guy when I was working during college.”

Table 2*Code Applications*

| Code | Supt1 | Supt2 | Supt3 | Supt4 | Supt5 | Supt6 | Total |
|--------------------------|-------|-------|-------|-------|-------|-------|-------|
| Admin. Cert. Prep. | 1 | 1 | 1 | 1 | 1 | 1 | 6 |
| Not Prep. | - | - | - | - | - | - | 0 |
| Some- what prep. | - | 1 | - | 1 | 1 | - | 3 |
| Well prep. | - | 1 | 1 | - | 1 | 1 | 4 |
| Exper. | - | - | - | - | - | 1 | 1 |
| Educ. | - | - | - | - | - | - | 0 |
| Family values | 1 | - | 1 | 1 | 1 | 1 | 5 |
| Other | 1 | 1 | 1 | 1 | 1 | 1 | 6 |
| Rel. values | - | - | 1 | - | - | - | 1 |
| Work exp. | 1 | 1 | 1 | 1 | 1 | 1 | 6 |

| | | | | | | | |
|-------------------------------|---|---|---|---|---|---|---|
| Value of Code of Ethics | - | - | - | - | - | - | 0 |
| Highly valued | - | 1 | - | - | - | - | 1 |
| Not valued | 1 | - | - | 1 | - | - | 2 |
| Some- what valued | 1 | - | 1 | 1 | 1 | 1 | 5 |
| Total | 6 | 6 | 7 | 7 | 7 | 7 | |

In terms of the Descriptor field on District Standings, the superintendents from both the districts in good standing and the target districts did not indicate that their administrative certification programs did not prepare them for ethical challenges they faced in their positions. It was fifty-fifty split between superintendents of districts in good standing and target districts in feeling that their administrative certification programs somewhat prepared them for ethical challenges. However, in terms of being well prepared for ethical challenges, superintendents from target districts felt more prepared than superintendents from districts in good standing.

In terms of weighting, male superintendents surpassed female superintendents in feeling that their administrative certification programs well prepared them for ethical challenges (5.71 to 5.0 for a total of 10.7). Male and female superintendents were

equally weighted at 3.0 each for a total of 6.0 for feeling somewhat prepared for ethical challenges by their administrative certification programs.

Research Question 2- How would superintendents in New York State describe the value of a code of ethics exclusively for administrative practices when making decisions regarding ethically challenging situations?

Understanding that the PSEL was not formally adopted by the New York State Education Department while all of the superintendents were attending preparation programs for their administrative certification, the interview questions garnered how the superintendents valued a code of ethics when presented with ethically challenging situations. The general consensus was that they did not place an extraordinary value to a code of ethics in these situations. Most of the superintendents lacked an in-depth knowledge of the PSEL to truly articulate a response to the impact of Standard #2 on their work as superintendents. The lack of knowledge further supports the necessity to embed the PSEL into the course work of administrative certification programs.

Only one of the female superintendents highly valued a code of ethics exclusively for administrative practices when making decisions regarding ethically challenging situations. Superintendent #2 (Supt2) stated, “I was introduced to standard #2 while taking a course at the beginning of my doctorate program entitled ‘Ethical, Moral and Legal Issues.’ Standard #2 allowed me to reflect upon my work as a school leader and the work still needed to be accomplished so that educators under my tutelage would be better prepared in their respective roles as educators. It is important that as educators, we make the best effort possible to promote each student’s academic success and well-being.” In order to provide further trustworthiness to this research, Superintendent #2 was re-

interviewed for further clarification in order to understand why she felt so strongly about her value of a code of ethics. Superintendent #2 is the only one of the six superintendents interviewed who is currently enrolled in a doctoral program. In her doctoral program, the PSEL is emphasized throughout her coursework. Moreover, her time as a superintendent (two years) is the shortest of the six superintendents interviewed.

The remaining two female superintendents either somewhat valued or did not value a code of ethics. Superintendent #1 indicated, “I’m aware of it, but I don’t. I don’t have it on my desk.” Superintendent #4 stated, “I don’t believe they go that far back, but no ethics responsibilities associated with my position at the time.” She later indicated that “It [PSEL Standard #2] really hasn’t [impacted my work].”

All three male superintendents somewhat valued a code of ethics. Superintendent #3 stated, “I think that because when I came through, those standards were not there. Same here. But now, you know, working with groups and things like that, working with young administrators, you know, we do refer to them.” Superintendent #5, when attempting to determine when he heard of Standard #2 said, “It could have been through my doctoral program. I don’t recall when I became aware.” However, he elaborated that “When we hired an elementary principal this past summer, basically, I’ve taken with a colleague, all the ISLC standards, or whatever they’re called now.” Superintendent #6 said, “It’s interesting is that the most states have processes in place, that you are supposed to learn that and have ongoing training in the standards throughout your career, except New York.” Of the eleven applications of the Value code, eight applications fell under somewhat valued, two were under not valued, and only one was under highly valued.

Once again, only one superintendent, Superintendent #2, who is from a target district, placed a high value on a code of ethics. The remaining superintendents from target districts felt that a code of ethics was somewhat valuable. The superintendents in districts in good standing felt either that a code of ethics was either somewhat valued or not valued.

In terms of weighting, Male and female superintendents were equally weighted at 3.0 each for a total of 6.0 for somewhat valuing a code of ethics exclusively for administrative practices when making decisions regarding ethically challenging situations. The next highest weight was for highly valued at 2.0, but there was only one female for this code. Lastly, not valued was 1.0 in weighting.

Research Question 3- What experiences would superintendents feel prepared them to contend with ethically challenging situations beyond the scope of formal ethical standards within the field of education?

The theme on experiences rendered the most prolific responses. All six of the superintendents referred to experiences that they felt prepared them to contend with ethically challenging situations beyond the scope of formal ethical standards within the field of education. The superintendents interviewed elaborated on several sub-themes or child codes in order to categorize the responses into a coherent and cohesive analysis. The five child codes included Education, Family values, Other, Religious values, and Work experiences. Family values and work experiences emerged as the most prevalent experiences that prepared the superintendents for ethically challenging situations. Family values included statements about their upbringing, parents, a specific, or their family in general. Stories emerged about situations in which parents instilled some moral

lesson or philosophy. Work experiences permeated all of the responses from the superintendents. Detailed accounts were provided as examples throughout their careers as administrators where their ethical principles were challenged. In most cases, passionate responses were provided when the accounts were recollected. Judging by the emotions expressed the situations have made a lasting impact on each of them.

Family values was referenced by two of the three female superintendents and the three male superintendents. This code appeared eight times among the five superintendents who referenced it. Superintendent #1 said, "I do think it's my upbringing." Superintendent #3 also stated, "My childhood and, and that has kind of always gone with me." At first, Superintendent #5 provided that "I think it's definitely my parents, my parents influence and then wanting to be a good example for my son so that I could put good men in the world." Superintendent #5 further indicated, "I would say, my own children were my compass. So, I would make decisions based on what would, what do I believe would be best for my own children. What would I want for them? And then just based on morals and integrity." He further stated, "I grew up, I grew up with a father and a mother that had tremendous integrity, and would not lie to me or for me." Superintendent #6 reflected, "I like to think...my mom and my dad when they divorced...I was very young, but they felt... held up public education, and I grew up that was huge. And education was expected. And treating people fairly, it didn't matter race, creed or color."

All of the superintendents referenced work experiences that prepared them for ethically challenging situations. Work experiences was the most frequently referenced code in the parent code of Experience and throughout the entire research (15).

Superintendent #1 stated, “My ethical radar is probably more part of my decisions than anything, because you're dealing with more people, you know, fairness. And so, I would say that it has evolved tremendously. Not that I was unethical before.” Superintendent #3 alone accounted for six of the references. Each of the superintendents recalled stories of situations in which their work experience helped form or reform their ethical viewpoints. Superintendent #4 indicated, “I think my ethical being so to speak, is what has grounded me and has been the foundation of all of my decisions.” She further elaborated by stating, “So we always do tabletop exercises, to reflect on how we handled the situation and what we would have done differently, and what we would not have done differently. So that's just par for the course.” Superintendent #5 supported this same thinking by stating, “I didn't do any preparation. But what I learned from the experience is that you just have to state what your position is very early and give them the why. And then you kind of see where things go. And the fortunate thing for me is, I think this particular group, as individuals, and as a group is much more ethical than where I was. So that dynamic is more positive, and it's easier. It's easier to just speak freely and not think about how you have to count your statements. So how you have to position yourself.”

All of the superintendents interviewed referenced another experience which prepared them to contend with ethically challenging situations. Superintendent #1 said “My integrity. I will never sacrifice that. So that's always there.” Superintendent #2 provided the most in-depth answer to the questions pertaining to this area. She stated, “As I progressed through my various education administrative roles, my ethical decision-making process has remained consistent. I have always practiced the highest level of ethics throughout my entire educational career. However, skills in the manner in which I

now arrive at decisions have broadened as I continue along my journey in the education profession.” Superintendent #3 reflected that “there's always the technical aspects of ethics and following the law, remaining true to policy. But I think it is one of the things that I have always kind of carried with me.” Superintendent # 6 indicated, “I would like to think that I have kept the same core ethics, and just trying to be fair.” He also referenced a “moral compass”: “I refer to that as a psychological...we always talk about I don't know, where I got this from, but a moral compass.” Later in his interview he followed up by stating, “that's part of your moral, ethical journey.” When asked what shaped his ethical perspective the most, Superintendent #5 also responded, “I would say moral compass.”

Only one of the six superintendents, Superintendent #3 referred to religious values as an experience which prepared him for ethically challenging situations. He referenced “[The] Golden Rule. And we all know what the golden rule is.” He went on to say that he was fairly religious and that his faith has always played a role in his life.

In terms of the Descriptor field on District Standings, the superintendents from both districts in good standing and target districts were evenly split, fifty-fifty, on family values. Superintendents from target districts felt that other experiences prepared them more for ethical challenges than those in districts in good standing. However, work experiences were more prevalent among superintendents of districts in good standing than those in target districts. Religious experiences seemed to be an outlier with only one superintendent providing any emphasis on this code.

Reviewing the outcomes of the research, there were distinct themes referenced throughout the interviews. Administrative certification programs although mentioned

were not perceived to be significant factors when addressing ethically challenging situations. Neither was a code of ethics considered to be valued in those same situations. However, as the themes and sub-themes were analyzed, considerable emphasis was placed on the experiences that the superintendents had in the course of their life and career thus emerging in the areas of Education, Family values, Other, Religious values, and Work experiences.

Conclusion

The six superintendents felt that their administrative certification programs either somewhat prepared or well prepared them for the ethical challenges they faced in their positions. Five of the six superintendents felt that a code of ethics exclusively for administrative practices when making decisions regarding ethically challenging situations was either somewhat valued or not valued. Lastly, all of the superintendents felt that work experiences, family values, or some other experience prepared them to contend with ethically challenging situations beyond the scope of formal ethical standards within the field of education more so than the formal education and continuous professional development they received throughout their careers. The implications of these findings may have a profound impact on the preparation of administrators in the future.

CHAPTER 5

Discussion

Introduction

The results and findings of the research provide a window into how superintendents of schools feel that their administrative certification programs prepared them for the ethical challenges they encountered in their roles. The evidence demonstrates that superintendents relied more on their own experiences, particularly from their work, than they did from a code of ethics in determining the outcomes in ethically challenging situations. The implications of the findings will be analyzed through the theoretical frameworks previously mentioned. The prior research will either be supported or extended based on these findings. In any research study, there are limitations. Consideration will be given to those limitations based upon the findings. Recommendations for future practice will be offered so that new administrators and new superintendents have exposure to the Professional Standards for Educational Leaders and so there is a degree of accountability in that exposure. Lastly, just as education must continue to grow and foster inquiry, recommendations for future research will be offered so that new research in the area of ethics and administrative preparation may be conducted.

Implications of Findings

Analysis of the findings showed three main themes emerging from the research. First, veteran superintendents either felt that their administrative certification program well-prepared or some-what prepared them for ethically challenging situations they experienced. None of the superintendents felt that the preparation they received carried

no value. Most of the female superintendents felt that their administrative certification program some-what prepared them for ethical challenges. The majority of the male superintendents felt that their administrative certification program well-prepared them for ethical challenges.

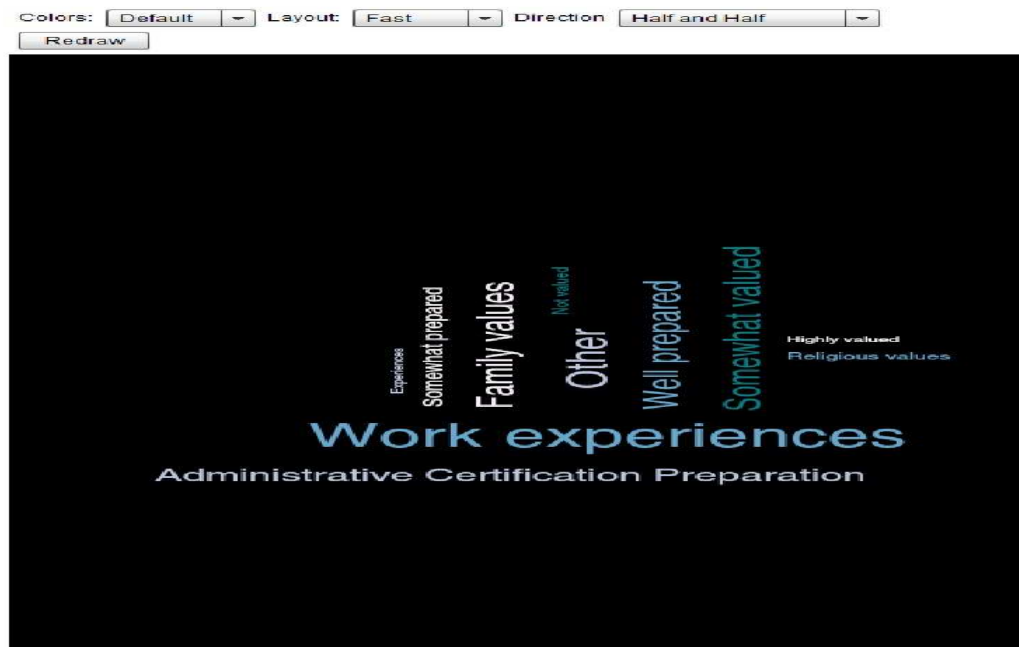
Second, veteran superintendents either some-what valued or did not value a code of ethics when presented with ethically challenging situations. As an outlier, only one superintendent felt that PSEL Standard #2 was highly valued. However, interestingly, the superintendent who expressed that sentiment has been in role as superintendent for the shortest amount of time yet has been an educational administrator for just as long as the other five superintendents interviewed. In addition, she is the only one of the superintendents interviewed presently in a doctoral program. Four of the superintendents have their doctorates already and for several years. One of the superintendents does not have her doctorate, nor did she express any information that she intended to pursue it in the future. Most of the female superintendents felt that a code of ethics was either some-what valued or not valued when making decisions in ethically challenging situations. The majority of the male superintendents felt that a code of ethics was somewhat valued when making decisions in ethically challenging situations.

Third, veteran superintendents expressed more value in experiences that they had in the course of their lives or their career than both their administrative certification preparation programs and a code of ethics. Work experiences (see Figure 3) emerged as the most frequently referenced experience that veteran superintendents relied upon when making decisions in ethically challenging situations. Although both genders referred to work experiences as something they valued when making decisions in ethically

challenging situations, male superintendents more frequently referenced work experience than female superintendents. Although the category of “Other” received more frequently acknowledged, this category was an amalgamation of several independent terms used throughout the course of the interviews. Each of which on their own may only have been mentioned once or twice among the six superintendents. Other experiences were equally referenced by both male and female superintendents. Family values, conversely, was frequently referenced by five of the six superintendents. However, male superintendents referenced family values more often than female superintendents. Finally, religious values were referenced by only one male superintendent.

Figure 3

3D Code Cloud



There were four theoretical frameworks that were applied to the results of the interviews conducted with current superintendents of schools in New York State. Sergiovanni's (2007) views on leadership as a "moral craft" was the first examined. The responses to the interviews yielded significant support for his concept. The responses from the superintendents coded as "Other" indicated that each of the superintendents felt their responses to ethically challenging situations have been based on some form of morals that they developed over the course of their life or career. Superintendents #1, #5, and #6 all referenced the term "moral compass" thus further supporting Sergiovanni's views. Other terms from the interviews included morals, integrity, ethics, and character. Each of these terms was referenced at least once in the interviews.

In addition, Shapiro's and Stefkovich's (2016) four ethical paradigms of the ethics of justice, care, critique, and profession provided terminology to extract terms related to the "Other" code. Superintendent #2 provided one of the best examples of the paradigms when she stated, "This program has given me an excellent opportunity to expand my knowledge, particularly as it relates to inequalities, social justice issues, and the importance of how culturally responsive pedagogy can play a significant role in creating a school climate that is accepting, caring, and a safe place for our students to use their voices. As leaders, it is too important that we embrace diversity, social justice, and equity." Bolman and Deal (2008) demonstrated common themes in their application of the organization frames of mutuality, generality, openness, and caring to ethical leadership. Each of the superintendents referenced examples of servant leadership toward the students, families, and staff of their districts. Superintendent #1's statement supported this concept: "My ethical radar is probably more part of my decisions than

anything, because you're dealing with more people, you know, fairness. And so, I would say that it has evolved tremendously.”

Wagner's and Simpson's (2008) Virtue Theory, which considers the context, personality, character, cooperation, and thinking of an educational leader was also be utilized (p. 4). Five of the six superintendents interviewed indicated that the origins of their ethical principles originated within their family values or developed over time with their work experiences. Superintendent #3 indicated that his ethics came from “my childhood and, and that has kind of always gone with me.” He also mentioned, “I bounce things off of sometimes, I go to my go to people within the organization. And many times, I'll also check to see with my colleagues outside the organization whose opinions I value such as, you know, somebody who might be coming here, and, you know, we'll call each other and say, hey, you know, what do you think of this?” Superintendent #1 also supported this concept when she indicated, “I think it's my upbringing. It's just like, you know, you're honest, you conduct yourself, you do what your job is supposed to do, supposed to be. You do what you have to do.” Superintendent #5 complimented his upbringing when he stated, “I grew up with a father and a mother that had tremendous integrity.”

The implications of the findings have a direct impact on the New York State Education Department, colleges and universities which offer administrative certification preparation programs, and school districts in New York State. Since 2017, the PSEL has been in place in New York State. However, no requirements for the use or training of the PSEL has been issued. It is granted that the COVID-19 Pandemic that began in March 2020 has delayed the implementation of programs throughout the world let alone New

York State. With the present change in the Chancellor of the Board of Regents and Commissioner in the New York State Education Department, there is hope that the PSEL will be revisited and some requirements or recommendations will be enacted to see that the full implementation takes place. In order to fully implement the PSEL, discussions should be occurring throughout the State including administrative organizations such as SAANYS and CAS. Included within the implementation should be an expectation for professional development training on the PSEL. However, compliance regulations must also be implemented which will require negotiations with the variance administrator organizations and approval ultimately by the Board of Regents and perhaps even the New York State Legislature.

Subsequently, colleges and universities must implement the embedding of the standards within their curricula for administrative certification programs. Although the focus of this research was on ethics and ethics is within Standard #2, all of the PSEL should be incorporated into the course work for future administrators. Since the information in most one-time courses or trainings is forgotten due to lack of use or reinforcement, colleges and universities need to establish a system whereby the PSEL is embedded in all courses for administrators. One recommendation to provide this opportunity would be for courses to require that any research conducted be directly tied to at least one of the standards. Administrator candidates would then have direct and sustained experience with the PSEL prior to becoming an administrator.

Finally, school district can do their part to provide professional development and training on PSEL to their administrators despite the lack of requirements from the New York State Education Department. Certainly, any such training should be conducted in

cooperation with the administrator union in the district. The standards would assist the present administrators in the formulation of goals and further professional development associated with the standards. Superintendent #3 discussed how he referred to the PSEL when orientating new administrators. For the PSEL to most effective, it needs to be referred to often and throughout the year. Perhaps then, we will see a lowering of ethical violations since all administrators are complying with the same set of expectations throughout New York State.

Relationship to Prior Research

Administrative Certification Programs

Greenfield (1991) expressed that due to the nature of schools and the number of moral dilemmas experienced by administrators, training in ethics should be a component of all administration preparation programs. Administrators must be trained to move schools forward in ethical practices (Sun, Chen, & Zhang, 2017). Shapiro and Stefkovich (2016) noted that most of their students wanted ethics taught as part of their course work. From the research conducted in this study, the theme of administrative certification program preparation emerged to support these findings within the literature reviewed. Superintendent #3 agreed with these concepts when he recognized his educational experience: “I have always kind of carried with me and I learned about it in coursework.” Segiovanni endorses the moral leadership of educational leaders so that they may create institutions that are “just and beneficent” (p. 12). Hoyle (1993) noted that at that time, seventy-five percent of superintendents were satisfied with their preparation. Yet, there was growing concern that the preparation for the superintendency that existed up to that time would not meet the needs of the role in the future. Orr (2006) stated that

superintendents must learn the conditions, culture, and expectations of the community in order to meet the community's needs and define their own vision and approach (p. 16). Smith (2014) emphasized the importance of ethics in training new teachers and the continued professional development of veteran teachers. Langlois and Lapointe (2010) demonstrated through the TERA program that after the training, the participants engaged in deeper discussions of their values, had a better understanding of responsibility among themselves, and acquired new knowledge in developing their ethical principles (p. 152-153). The study concluded that stronger morals improve ethical awareness, judgment, responsibility, and professionalism (p. 155).

Code of Ethics

Although there is a Code of Ethics for Educators, there is a lack of appreciation for its applicability to the work of the superintendent of schools among the superintendents interviewed (NYSED, *Code of Ethics for Educators*). The superintendency is ever-changing in demands and pressure. Training and ongoing professional development, especially in the area of ethics, is limited (p. 4). Superintendent #2's current education provided this insight, "Standard #2 allowed me to reflect upon my work as a school leader and the work still needed to be accomplished so that educators under my tutelage would be better prepared in their respective roles as educators. It is important that as educators, we make the best effort possible to promote each student's academic success and well-being." However, Superintendent #3 presented that the standards were not "explicitly" presented, but rather "touched on."

Applying Resnick's (2015) theory of the importance of a code of ethics in all fields would allow for composing the norms of an educational administrator. The

placement of the Code of Ethics within board policy would deter future unethical acts prior to irreparable harm to the students, staff, and communities. The results of the analysis of the value of a code of ethics then demonstrated a lack of value of a code among the superintendents interviewed. Superintendent #5 expressed frustration with the lack of advancement of PSEL in New York when he indicated “There's ethical issues in our profession, and the standards exist, there's been little to nothing done in most college preparation programs for administrators, nor has the state even required us to take any type of training on what they are, even though they officially haven't really adopted them.” Superintendent #6 applied this more simplistically, “Just treat people fairly...and listen.” Kumar and Mitchell (2004) purported that “the moral codes and ethical practices in educational administration” have been grounded in principles dating from the Industrial era (p. 128). They warned that societal demands of making education more like a business have caused further deterioration of ethical practices and the use of business managerial strategies in an education setting to meet goals of “efficiency, quick fixes, or surface solutions” will only cause the loss of morals (p. 143). Superintendent #2 provided her thoughts in support of Kumar and Mitchell when she noted, “As we often say to teachers, one can never have enough professional development. It is vital for the Superintendent, regardless of the time on the job, to remain well-read, attend workshops and meetings, and learn from those who have more experience and expertise.” Dempster and Berry (2003) noted a lack of professional development in ethical decision-making (p. 475). Support of this position was recognized in the results of the theme on value of a code ethics again. Superintendent #3 indicated that when “working with groups and things like that working with young administrators...we do refer to them.”

Bolman and Deal (2017) designed the Four-Frame Model to be used by any organization that seeks to improve the model of leadership within their organization. Similarly, Buchanan's (2013) research determined that ethical administrators place students as their first priority, follow the rules, and are communicative. Examination of the experiences of the superintendents yielded several responses in support of these theories. One of the most compelling was from Superintendent #1 who acknowledged her lack of understanding of the standards when she said, "Nothing specifically to ethics. I mean, I've worked, I've gone to presentations about how to deal with people and I guess you could say there's a part of that there, but nothing specific on that." Therefore, it stands to reason that if a code of ethics were required as part of the initial training and on-going professional development of administrators, it would increase the likelihood of compliance.

Experiences Beyond the Scope of Formal Ethical Standards

Schon (1983) in his seminal work noted the importance of reflection for leadership in all fields. Our performance of actions in everyday life are part of an intuitive process that allows an individual the ability to reorganize phenomena (p. 49). The superintendents interviewed largely considered experiences beyond their formal education as one of the highest influencers of their ethical values. Comments from Superintendent #3 support this view when he indicated, "the standards were not in place. So, but,...I think there was always an ethical dimension to what we were taught." Individuals acquire knowledge over time which can be applied to decisions in the future. Kasten and Ashbaugh (1991) determined that administrators rarely engaged in retrospective analysis when it came to their ethical decisions. Even though Kidder (2008)

determined that value-driven decisions were more complex, most superintendents felt their values were up to date. Superintendent #2's comments provided a supportive context to Kidder: "Being a good listener and genuinely caring about everyone you serve. I continue to shape my narrative." Russell's (2005) findings indicated that personal feelings were the greatest influences on the decision-making processes of superintendents. Superintendent #3's statements would concur with this view as he articulated that "strong ethical background, and amongst other... competencies." Sergiovanni (2007) viewed leadership as a "moral craft" and posited that moral leaders, in his view, build connections by following their moral compass. The term "moral compass" was specifically mentioned by three of the six superintendents during the interviews. Superintendent #2 reflected "My ethical decision-making process has remained consistent. I have always practiced the highest level of ethics throughout my entire educational career. However, skills in the manner in which I now arrive at decisions have broadened as I continue along my journey in the education profession." Shapiro and Stefkovich (2016) applied four ethical paradigms to the ethical lens of educational leadership. These paradigms included the ethics of justice, care, critique, and profession. Superintendent #6 expressed his care as "One of the things that drives me as I'm so afraid of disappointing."

Wagner's and Simpson's (2008) Virtue Theory examined the dependency of ethics on the context, personality, character, cooperation, and thinking of an educational leader (p. 4). Superintendent #1 concurred, "My decision making is always based on integrity." Bolman and Deal (2017) described their symbolic frame examples to include carnival, temple, and theater as metaphors for organization; anthropology, dramaturgy,

and institutional theory for supporting disciplines; culture, myth, meaning, metaphor, ritual, ceremony, stories, and heroes for central concepts; inspiration for image of leadership; and the creation of faith, belief, beauty, and meaning for basic leadership challenge (p. 20). As an outlier, Superintendent #3 was the only one of the six superintendents to reference his religious beliefs when he stated, “(The) Golden Rule. And we all know what the golden rule is. But this particular poster has how the golden rule is expressed.” Gorton and Alston (2012) noted that ethical action treats all people equally and fairly. To be an ethical leader, an administrator must practice ethical behavior. Reardon (2013) believed that leaders operate under sound ethical principles and that exceptions to this concept are why the study of ethics should be incorporated into leadership programs (p. 286).

Shurden, Santandreu, and Shurden (2010), noted that teachers, and subsequently administrators, are not always aware that their actions have a moral impact on students. However, the research conduct among the six superintendents refutes that theory. All of the superintendents interviewed clearly viewed their personal actions as being directly correlated to the actions of others. Superintendent #3 stated, “I want them (parents) to understand that the overarching interest is in their child.” Evidence demonstrated the positive impact of transformational leadership on school outcomes (Sun, Chen, and Zhang, 2017). Superintendent #1, having assumed her position after a long-standing superintendent who contended with the residuals of a prior scandal said, “what's right for our kids, they come first, they're more important than all of us.”

Connection of the Themes to the Role of the Superintendent of Schools

It is evident that the PSEL has applicability to all school and district administrative positions. Certainly, even with its unique role, the superintendency is not an exception this statement. As Orr (2006) noted, pressures of the position have taken their toll on many superintendents, which has led to reluctance by other administrators to pursue open superintendent positions when they become available. Orr's work determined that communities are changing in terms of economic and academic needs, health and safety require greater preparation and attention, unilateral decisions are no longer acceptable, consensus building is critical, and recruitment, mentoring, and retention of staff and leadership are of the utmost importance (p. 10). Superintendents must learn the conditions, culture, and expectations of the community in order to meet their needs and define one's vision and approach (p. 16).

The research conducted concluded that current superintendents have relied more heavily on their own experiences than they have from the formal training they received or their compliance with non-required code of ethical standards. The unique role of the superintendent therefore must present challenges that are so different than other educational administrator roles that the training and preparation that has been experienced by veteran superintendents did not amply prepare them for those experiences. Veteran superintendents relied more heavily on their family values, work experiences, or other experiences when presented with ethically challenging situations. The results of the research conducted in this study inform the educational community that in order for administrators to be prepared and to be successful in terms of addressing ethically challenging situations, administrative certification preparation programs must

institute experiences that will allow for administrators to feel better prepared. The PSEL must be imbedded in each of those courses. In the six years since the creation of PSEL, despite a presentation to the New York State Board of Regents and the development of a crosswalk in 2017, there has not been any discussion among school administrators about its enforcement nor has there been any discipline of any administrators in New York State-based upon violations of the standards. Current superintendents of schools must be provided with professional development opportunities or mandatory trainings in the framework in order for the superintendents to feel more comfortable in the use of the PSEL when applying it to ethically challenging situation that they are presented with while in their current roles. Perhaps then, we will see the PSEL being valued more than they are currently viewed by veteran superintendents and administrators.

Limitations of the Study

With any research, there are limitations to the study. Creswell and Poth (2018) recommend five to 25 individuals for interviews in a Phenomenological study (p. 150). For this research the sample size was six. A larger sample size will lend a higher degree of trustworthiness to the findings from the study. The intended number of superintendents in this study was ten. Therefore, the sample size may present limitations.

Another limitation is bias. Larger sample size may have been able to mitigate the potential for cultural bias. In order to address cultural bias in research, Sarniak (2015) notes that researchers must understand cultural relativism. Cultural relativism is the principle that one's beliefs and activities must be viewed based on one's culture. Each of the superintendents brought perspectives based on their experiences and the demographics of the districts where they work. Each district in this study was unique,

and understandably, had its own challenges. The superintendents in this study all had more than ten years of administrative experience. The length of experience that they possess may have led to biases based upon their experiences and the duration of time since they were in an administrator certification program.

Recommendations for Future Practice

Orr (2006) stated that the tenure for superintendents is shorter than in previous decades and that rates of turnover are increasing. This was partly attributed to district size since managing larger district is perceived as more difficult. Also, fewer people are going into the superintendency. Still, pressures of the position take their toll on many superintendents. Providing on-going professional development, in particular within the field of ethics, may assist in the recruitment and retention of superintendents of schools. According to Gorton and Alston (2012), more recent research has concluded that the administration of educational organizations is far more complex than was earlier believed, and the thinking used in decision-making processes is significantly different from that of scholars and researchers (p. 314-315). The ethical competencies of administrators can be incorporated and learned in training programs in the same manner that is being instituted with ethical concerns in other fields such as the sciences. Colleges and universities that offer the certifications in school building, school district, and school business administration in New York State must incorporate the acquisition of knowledge of the Professional Standards for Educational Leaders within each of the courses offered and not just in a stand-alone course. The regular and systematic approach to demonstrating the importance of the standards will ensure that they will become part of the practices of every school administrator. In addition, the New York

State Education Department must finalize its plan for administrators to be regularly trained in the standards. Although pressing situations such as the COVID-19 Pandemic took precedence, it is time for the standards to become part of every veteran administrator's repertoire. Perhaps with the new Chancellor and Commissioner in the New York State Education Department this initiative will be revisited and revitalized. Despite the absence of requirements for the PSEL, school districts as a matter of professional expectations should also require professional development and training on PSEL to ensure that all administrators are operating under the same set of principles to guide their work.

Recommendations for Future Research

Although the research conducted was comprehensive in examining the three research questions among veteran superintendents of schools, it did not examine those same questions among newer superintendents. Generally, an administrator does not become a superintendent immediately or within the first five years of receiving an administrative certification. A study of newer superintendents or newer administrators may yield evidence that demonstrates that colleges and universities are incorporating the Professional Standards for Educational Leaders into the courses for certification of school administrators in New York State. Further study needs to be conducted with the New York State Education Department on the full implementation and requirements of administrators regarding the standards. The politics associated with the implementation would also involve the cooperation of organizations such as the School Administrators Association of New York State (SAANYS) and the Council of Administrators and Supervisors (CAS).

Another recommendation for future research would be to build upon the results of this research in terms of the differences in the responses between female and male superintendents. The majority of superintendents in New York State and the United States are male. However, the number of female superintendents is increasing. Examination of the differences in the responses and the rationale for those differences may yield to some compelling results that can provide greater insight into the preparation of administrators from both identified genders. It may also encourage more female administrators to pursue superintendent of schools positions when they become available during their careers.

Conclusion

Among veteran superintendents of schools with over ten years of administrative experience, there is a lack of knowledge and low utilization of the Professional Standards for Educational Professionals. The literature on the ethics in educational administration emphasizes the necessity for training and professional development of administrators throughout their careers and not only when they first assume their roles. The data from veteran superintendents supports that emphasis. However, veteran superintendents tend to rely more heavily on their work experiences and personal moral development from either their family values or other principles, than they rely on PSEL, when making decisions in ethically challenging situations. Therefore, in order for PSEL to be more impactful, colleges and universities must incorporate the standards into their courses and the New York State Education Department must revisit the rollout of PSEL that it began in 2017. Districts must also do their part for existing administrators to gain familiarity with and use of the PSEL by conducting their own professional development. Only in

that way will current administrators be held to the same expectations throughout New York State.

EPILOGUE

The course work and research process were arduous tasks. Working full time, taking courses, and conducting research while pursuing a doctorate is an enormous undertaking. If it were not for the support of family, friends, and advisors, the completion of the process would not have been possible. The outcomes of the research conducted demonstrate the necessity for improvements in the administrative certification programs to ensure that the Professional Standards for Educational Leaders and Standard #2 on ethics are embedded within the coursework. In addition, for the educational system in New York to demonstrate consistent expectations for administrative performance, some form of required professional development must be implemented. As an appointed superintendent of schools beginning in July 2022, I acquired a wealth of knowledge from the veteran superintendents with whom I interacted while gathering the data for this research. I feel that in order to truly serve students, families, faculty, staff, and administrators, I must continue to learn and grow throughout my tenure as a superintendent of schools. I must reflect on my own ethical perspectives to adapt and change with the needs of the community in which I serve.

APPENDIX A

IRB Approval



Federal Wide Assurance: FWA00009066

Feb 22, 2022 7:45:54 PM EST

PI: Kevin Scanlon
CO-PI: Anthony Annunziato
Ed Admin & Instruc Leadership

Re: Expedited Review - Initial - **IRB-FY2022-95** *The Relevance of Ethical Standards Among Veteran Superintendents*

Dear Kevin Scanlon:

The St John's University Institutional Review Board has rendered the decision below for *The Relevance of Ethical Standards Among Veteran Superintendents*. The approval is effective from February 22, 2022 through February 21, 2023.

Decision: Approved

PLEASE NOTE: If you have collected any data prior to this approval date, the data must be discarded.

Selected Category:

Sincerely,

Raymond DiGiuseppe, PhD, ABPP
Chair, Institutional Review Board
Professor of Psychology

Marie Nitopi, Ed.D.
IRB Coordinator

APPENDIX B

Ethical Awareness Inventory

2

AWARENESS—ARTICULATION—APPLICATION

The *Ethics Awareness Inventory* has been designed to assist you in the development of a deeper understanding of your personal ethical perspective and style. It will enable you to gain insight into the **CORE** principles or values underlying your belief system and the belief systems of others.

It is important that you view this instrument as a tool for discovering how you are likely to approach ethical issues—and why. The first step in achieving **AWARENESS** is understanding the principles and the process you use most frequently for making ethical decisions. This first step is about the identification of your **CORE** beliefs. It is intended to precede any attempt to determine the appropriate solution for a specific ethical dilemma. Therefore, there are no “right” or “wrong” answers for the choices you are asked to make in completing the *Ethics Awareness Inventory*.

This instrument will simply provide you with an **AWARENESS** of the basis you use for determining what you believe is right or wrong in any given situation. Any effort to “game” the results will only defeat the purpose of the instrument, which is to learn more about your own perspective on ethical decision making.

ETHICS AWARENESS INVENTORY

For each of the statements below, four possible answers are listed. Select *two* answers for each statement—one which you consider to be **most in agreement** with your personal philosophical perspective on ethics and one which you consider to be **least in agreement** with your personal beliefs.

At times the choices will be difficult, but ***you must select only two answers—one most in agreement and one least in agreement with your personal ethical philosophy.*** This inventory is not intended to measure your *organization's* position on ethics or the ethical requirements of your job. The purpose is to assist you in examining your own personal beliefs.

MOST LEAST

| | | |
|--|-------|-------|
| The best measure for determining whether a person is "a good person" is: | | |
| – to examine her/his "bottom line"—the results that person achieves. | _____ | _____ |
| – to examine her/his overall character. | _____ | _____ |
| – to examine her/his intent to do what is right on a consistent basis. | _____ | _____ |
| – to examine how she/he decides what is "ethical" for each situation. | _____ | _____ |
| When we talk about ethics, I believe that moral standards of right and wrong: | | |
| – are the moral obligations we each have to do what is good. | _____ | _____ |
| – are outdated and no longer useful in today's society. | _____ | _____ |
| – are guidelines we use to achieve the greatest good for society. | _____ | _____ |
| – are less important than the personal character of individuals. | _____ | _____ |
| Ethical conduct is improved by focusing on: | | |
| – the importance of individual actions in achieving more good for more people. | _____ | _____ |
| – what it is good to <i>be</i> rather than what it is good to <i>do</i> . | _____ | _____ |
| – the inclusion of different perspectives in making ethical decisions. | _____ | _____ |
| – a basic respect for others. | _____ | _____ |
| Organized attempts to achieve a more ideal society: | | |
| – are often focused on gaining more control or power. | _____ | _____ |
| – should be focused on improving individual character. | _____ | _____ |
| – must respect an individual's ability to make his/her own decisions. | _____ | _____ |
| – should focus on what is best for the majority of the people affected. | _____ | _____ |
| Ethical standards of conduct are: | | |
| – unnecessarily burdensome. | _____ | _____ |
| – important for achieving the greatest overall good for society. | _____ | _____ |
| – useless unless an individual is also striving to be a good person. | _____ | _____ |
| – society's accepted principles of right and wrong. | _____ | _____ |
| When I think of the ethics of the future, I expect to see: | | |
| – more people striving to demonstrate integrity and good character. | _____ | _____ |
| – more progress toward the betterment of society as a whole. | _____ | _____ |
| – more respect for individuals of different backgrounds. | _____ | _____ |
| – more chaos and social disorder. | _____ | _____ |

| | MOST | LEAST |
|---|-------|-------|
| Rational (logical) thinking: | | |
| – is important in defining sound ethical principles. | _____ | _____ |
| – cannot be trusted; judgment by individuals is uncertain. | _____ | _____ |
| – can help us to select the path for achieving the best ethical results. | _____ | _____ |
| – is less important than excellent thought and character. | _____ | _____ |
| Equality is concerned primarily with issues of: | | |
| – sound moral judgment (justice). | _____ | _____ |
| – individual respect. | _____ | _____ |
| – fairness for society as a whole. | _____ | _____ |
| – acceptance of those who have been denied a voice in the past. | _____ | _____ |
| In order to conduct oneself ethically, an individual: | | |
| – has a duty to treat others with respect. | _____ | _____ |
| – must demonstrate exemplary character. | _____ | _____ |
| – must stay in touch with the current culture. | _____ | _____ |
| – must be committed to doing good works for the benefit of others. | _____ | _____ |
| General principles of ethical conduct: | | |
| – are standards intended to maintain control over people's behavior. | _____ | _____ |
| – are only as good as the results they achieve. | _____ | _____ |
| – cannot make a person ethical; goodness is a way of life. | _____ | _____ |
| – establish the rules for how we <i>ought</i> to act. | _____ | _____ |
| A person is viewed as being ethical when: | | |
| – she/he treats most people fairly and achieves the best overall results. | _____ | _____ |
| – the well-being of people and communities always comes first. | _____ | _____ |
| – her/his basic moral standards seem to be fair in dealing with others. | _____ | _____ |
| – others consider her/him a person of character and integrity. | _____ | _____ |
| I consider a policy ethical when: | | |
| – individuals affected by the policy are treated with respect. | _____ | _____ |
| – it demonstrates integrity and sound values. | _____ | _____ |
| – it is open to public discussion and recommendations. | _____ | _____ |
| – the benefits to society outweigh the costs. | _____ | _____ |
| Public policy is best when it is developed by: | | |
| – people noted for their integrity. | _____ | _____ |
| – rational and dutiful leaders. | _____ | _____ |
| – knowledgeable, well-trained experts. | _____ | _____ |
| – people from different perspectives using public forums/meetings. | _____ | _____ |
| Today's adolescents: | | |
| – are generally excluded from most decision making, because they are entrusted with less power and authority. | _____ | _____ |
| – need to understand the importance of developing a good character. | _____ | _____ |
| – require good role models and leadership for the good of society. | _____ | _____ |
| – deserve respect and support in learning what is best for society. | _____ | _____ |

MOST LEAST

Human reason is:

- changeable and uncertain.
- more reliable when it is supported by scientific study.
- essential to making the right decisions.
- a quality we should encourage within individuals.

| | |
|-------|-------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

Affirmative action policies should be based on:

- equal *opportunity*.
- equal *respect* for others.
- equal *fairness* toward others.
- equal *advantages* for each individual.

| | |
|-------|-------|
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |
| _____ | _____ |

In each of the four-word groups below, *select two in each group—one you value most and one you value least*. Which of the four values in each group would you consider *most* desirable for an individual to demonstrate, and which would you consider the *least* important to demonstrate?

MOST LEAST

- Excellent character
- Service to others in the community
- Individual commitment and reliability
- Commitment to the betterment of society
- Accomplishment of one's moral obligations
- Achievement of one's goals
- Development of the quality of one's character
- Demonstration of the qualities of a good team player
- Willingness to sacrifice for the good of the whole
- Respect for all others, regardless of circumstances
- Appreciation of diversity
- Commitment to excellence of character
- Fairness
- Integrity
- Achievement
- Dignity
- Commitment to follow principles of good conduct
- Opposition to prejudice and discrimination
- Commitment to integrity and honor
- Concern for the greater good of society
- Pragmatism (rational conduct)
- Effectiveness
- Personal courage
- Honor

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| _____ | _____ |
| _____ | _____ |

| | MOST | LEAST |
|---|-------|-------|
| - Wisdom | _____ | _____ |
| - Independence | _____ | _____ |
| - Efficiency | _____ | _____ |
| - Originality | _____ | _____ |
| - Accomplishment of desired results | _____ | _____ |
| - Ability to remain flexible | _____ | _____ |
| - Commitment to treat others with high regard | _____ | _____ |
| - Demonstration of sound moral thinking | _____ | _____ |

ETHICS AWARENESS INVENTORY SCORING MODULE

Using the following scoring guide and the scoring summary (page 11), circle the appropriate letters in the **MOST** and **LEAST** columns below that correspond to the answers you marked in the **MOST** and **LEAST** columns on your *Ethics Awareness Inventory*. When you have finished circling the letters that correspond to the answers on your inventory, count the number of C answers in the **MOST** column, and record the numbers under C on the scoring summary opposite the word **MOST**. Repeat for the O, R, and E answers. Then, count the number of C, O, R, and E answers in the **LEAST** column, and record those numbers on the scoring summary opposite the word **LEAST**.

| | MOST | LEAST |
|--|------|-------|
| The best measure for determining whether a person is "a good person" is: | | |
| – to examine her/his "bottom line"—the results that person achieves. | R | R |
| – to examine her/his overall character. | C | C |
| – to examine her/his intent to do what is right on a consistent basis. | O | O |
| – to examine how she/he decides what is "ethical" for each situation. | E | E |
| When we talk about ethics, I believe that moral standards of right and wrong: | | |
| – are the moral obligations we each have to do what is good. | O | O |
| – are outdated and no longer useful in today's society. | E | E |
| – are guidelines we use to achieve the greatest good for society. | R | R |
| – are less important than the personal character of individuals. | C | C |
| Ethical conduct is improved by focusing on: | | |
| – the importance of individual actions in achieving more good for more people. | R | R |
| – what it is good to <i>be</i> rather than what it is good to <i>do</i> . | C | C |
| – the inclusion of different perspectives in making ethical decisions. | E | E |
| – a basic respect for others. | O | O |
| Organized attempts to achieve a more ideal society: | | |
| – are often focused on gaining more control or power. | E | E |
| – should be focused on improving individual character. | C | C |
| – must respect an individual's ability to make his/her own decisions. | O | O |
| – should focus on what is best for the majority of the people affected. | R | R |
| Ethical standards of conduct are: | | |
| – unnecessarily burdensome. | E | E |
| – important for achieving the greatest overall good for society. | R | R |
| – useless unless an individual is also striving to be a good person. | C | C |
| – society's accepted principles of right and wrong. | O | O |
| When I think of the ethics of the future, I expect to see: | | |
| – more people striving to demonstrate integrity and good character. | C | C |
| – more progress toward the betterment of society as a whole. | R | R |
| – more respect for individuals of different backgrounds. | O | O |
| – more chaos and social disorder. | E | E |

| | MOST | LEAST |
|---|--------------|--------------|
| Rational (logical) thinking: | | |
| – is important in defining sound ethical principles. | <u> O </u> | <u> O </u> |
| – cannot be trusted; judgment by individuals is uncertain. | <u> E </u> | <u> E </u> |
| – can help us to select the path for achieving the best ethical results. | <u> R </u> | <u> R </u> |
| – is less important than excellent thought and character. | <u> C </u> | <u> C </u> |
| Equality is concerned primarily with issues of: | | |
| – sound moral judgment (justice). | <u> C </u> | <u> C </u> |
| – individual respect. | <u> O </u> | <u> O </u> |
| – fairness for society as a whole. | <u> R </u> | <u> R </u> |
| – acceptance of those who have been denied a voice in the past. | <u> E </u> | <u> E </u> |
| In order to conduct oneself ethically, an individual: | | |
| – has a duty to treat others with respect. | <u> O </u> | <u> O </u> |
| – must demonstrate exemplary character. | <u> C </u> | <u> C </u> |
| – must stay in touch with the current culture. | <u> E </u> | <u> E </u> |
| – must be committed to doing good works for the benefit of others. | <u> R </u> | <u> R </u> |
| General principles of ethical conduct: | | |
| – are standards intended to maintain control over people's behavior. | <u> E </u> | <u> E </u> |
| – are only as good as the results they achieve. | <u> R </u> | <u> R </u> |
| – cannot make a person ethical; goodness is a way of life. | <u> C </u> | <u> C </u> |
| – establish the rules for how we <i>ought</i> to act. | <u> O </u> | <u> O </u> |
| A person is viewed as being ethical when: | | |
| – she/he treats most people fairly and achieves the best overall results. | <u> R </u> | <u> R </u> |
| – the well-being of people and communities always comes first. | <u> E </u> | <u> E </u> |
| – her/his basic moral standards seem to be fair in dealing with others. | <u> O </u> | <u> O </u> |
| – others consider her/him a person of character and integrity. | <u> C </u> | <u> C </u> |
| I consider a policy ethical when: | | |
| – individuals affected by the policy are treated with respect. | <u> O </u> | <u> O </u> |
| – it demonstrates integrity and sound values. | <u> C </u> | <u> C </u> |
| – it is open to public discussion and recommendations. | <u> E </u> | <u> E </u> |
| – the benefits to society outweigh the costs. | <u> R </u> | <u> R </u> |
| Public policy is best when it is developed by: | | |
| – people noted for their integrity. | <u> C </u> | <u> C </u> |
| – rational and dutiful leaders. | <u> O </u> | <u> O </u> |
| – knowledgeable, well-trained experts. | <u> R </u> | <u> R </u> |
| – people from different perspectives using public forums/meetings. | <u> E </u> | <u> E </u> |
| Today's adolescents: | | |
| – are generally excluded from most decision making, because they are entrusted with less power and authority. | <u> E </u> | <u> E </u> |
| – need to understand the importance of developing a good character. | <u> C </u> | <u> C </u> |
| – require good role models and leadership for the good of society. | <u> R </u> | <u> R </u> |
| – deserve respect and support in learning what is best for society. | <u> O </u> | <u> O </u> |

MOST LEAST

Human reason is:

- changeable and uncertain.
- more reliable when it is supported by scientific study.
- essential to making the right decisions.
- a quality we should encourage within individuals.

| | |
|---|---|
| E | E |
| R | R |
| O | O |
| C | C |

Affirmative action policies should be based on:

- equal *opportunity*.
- equal *respect* for others.
- equal *fairness* toward others.
- equal *advantages* for each individual.

| | |
|---|---|
| R | R |
| O | O |
| C | C |
| E | E |

MOST LEAST

- Excellent character
- Service to others in the community
- Individual commitment and reliability
- Commitment to the betterment of society
- Accomplishment of one's moral obligations
- Achievement of one's goals
- Development of the quality of one's character
- Demonstration of the qualities of a good team player
- Willingness to sacrifice for the good of the whole
- Respect for all others, regardless of circumstances
- Appreciation of diversity
- Commitment to excellence of character
- Fairness
- Integrity
- Achievement
- Dignity
- Commitment to follow principles of good conduct
- Opposition to prejudice and discrimination
- Commitment to integrity and honor
- Concern for the greater good of society
- Pragmatism (rational conduct)
- Effectiveness
- Personal courage
- Honor

| | |
|---|---|
| C | C |
| E | E |
| O | O |
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| C | C |

- Wisdom
- Independence
- Efficiency
- Originality

- Accomplishment of desired results
- Ability to remain flexible
- Commitment to treat others with high regard
- Demonstration of sound moral thinking

MOST LEAST

| | |
|--------------|--------------|
| <u> C </u> | <u> C </u> |
| <u> O </u> | <u> O </u> |
| <u> R </u> | <u> R </u> |
| <u> E </u> | <u> E </u> |

| | |
|--------------|--------------|
| <u> R </u> | <u> R </u> |
| <u> E </u> | <u> E </u> |
| <u> O </u> | <u> O </u> |
| <u> C </u> | <u> C </u> |

ETHICS AWARENESS INVENTORY SCORING SUMMARY

| | C | O | R | E | {Row Totals} |
|---------------------------|---|---|---|---|--------------|
| MOST | | | | | = 24 |
| LEAST | | | | | = 24 |
| COMBINED SCORE | | | | | = 0 |

You may check the accuracy of your scoring, by making certain that the **MOST** and **LEAST** rows each add up to 24. If they do not, you will need to go back and find your error in transferring your answers from your inventory. Next, **subtract** the number in the **LEAST** row from the number in the **MOST** row in each of the four columns. This will result in some *negative* scores. You may check the accuracy of your scores by making certain that the numbers in the **COMBINED SCORE** row add up to 0.

In the space provided below, record the letter category (C, O, R, or E) in which your *largest* **COMBINED SCORE** appears (**the letter represented by the largest positive score**). This letter corresponds to a key word in the **ETHICS AWARENESS PROFILE** that begins on the following page.

Most Used Perspective _____

Record the letter category (C, O, R, or E) in which your *smallest* **COMBINED SCORE** appears (the letter represented by the largest *negative* score).

Least Used Perspective _____

APPENDIX C

Interview Questions

1. How many years have you been an education administrator?
2. In what administrative roles have you served in prior to becoming a superintendent?
3. As you progressed in your various education administrative roles, how has your ethical decision-making process developed?
4. Please describe the first time you experienced an ethically challenging situation as a superintendent.
5. What did you rely on to make your decision in this situation?
6. How did you feel during this situation?
7. Explain how you made your decision?
8. How did you feel after the situation?
9. What type of post incident review did you conduct?
10. How did you prepare for future ethical challenges?
11. What do you feel shaped your ethical perspective most?
12. Are you familiar with Standard #2 of the Public-School Educational Learning Standards?
13. If you are familiar with this Standard, when was the first instance you were aware of its existence?
14. How has this Standard impacted your work?
15. Did you experience any training or professional development on ethics in your career?
16. If so, what did that experience consist of?

APPENDIX D

AASA's Statement of Ethics for Educational Leaders

An educational leader's professional conduct must conform to an ethical code of behavior, and the code must set high standards for all educational leaders. The educational leader provides professional leadership across the district and also across the community. This responsibility requires the leader to maintain standards of exemplary professional conduct while recognizing that his or her actions will be viewed and appraised by the community, professional associates and students.

The educational leader acknowledges that he or she serves the schools and community by providing equal educational opportunities to each and every child. The work of the leader must emphasize accountability and results, increased student achievement, and high expectations for each and every student.

To these ends, the educational leader subscribes to the following statements of standards.

The educational leader:

1. Makes the education and well-being of students the fundamental value of all decision making.
2. Fulfills all professional duties with honesty and integrity and always acts in a trustworthy and responsible manner.
3. Supports the principle of due process and protects the civil and human rights of all individuals.

4. Implements local, state and national laws.
5. Advises the school board and implements the board'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 or that are not in the best interest of children.
7. Avoids using his/her position for personal gain through political, social, religious, economic or other influences.
8. Accepts academic degrees or professional certification only from 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, release or dissolution mutually agreed upon by all parties.
11. Accepts responsibility and accountability for one's own actions and behaviors.
12. Commits to serving others above self (Pardini, AASA).

APPENDIX E

New York State Code of Ethics for Educators

Statement of Purpose

The Code of Ethics is a public statement by educators that sets clear expectations and principles to guide practice and inspire professional excellence. Educators believe a commonly held set of principles can assist in the individual exercise of professional judgment. This Code speaks to the core values of the profession. "Educator" as used throughout means all educators serving New York schools in positions requiring a certificate, including classroom teachers, school leaders and pupil personnel service providers.

Principle 1: Educators nurture the intellectual, physical, emotional, social, and civic potential of each student.

Educators promote growth in all students through the integration of intellectual, physical, emotional, social and civic learning. They respect the inherent dignity and worth of each individual. Educators help students to value their own identity, learn more about their cultural heritage, and practice social and civic responsibilities. They help students to reflect on their own learning and connect it to their life experience. They engage students in activities that encourage diverse approaches and solutions to issues, while providing a range of ways for students to demonstrate their abilities and learning. They foster the development of students who can analyze, synthesize, evaluate and communicate information effectively.

Principle 2: Educators create, support, and maintain challenging learning environments for all.

Educators apply their professional knowledge to promote student learning. They know the curriculum and utilize a range of strategies and assessments to address differences. Educators develop and implement programs based upon a strong understanding of human development and learning theory. They support a challenging learning environment. They advocate for necessary resources to teach to higher levels of learning. They establish and maintain clear standards of behavior and civility. Educators are role models, displaying the habits of mind and work necessary to develop and apply knowledge while simultaneously displaying a curiosity and enthusiasm for learning. They invite students to become active, inquisitive, and discerning individuals who reflect upon and monitor their own learning.

Principle 3: Educators commit to their own learning in order to develop their practice.

Educators recognize that professional knowledge and development are the foundations of their practice. They know their subject matter, and they understand how students learn. Educators respect the reciprocal nature of learning between educators and students. They engage in a variety of individual and collaborative learning experiences essential to develop professionally and to promote student learning. They draw on and contribute to various forms of educational research to improve their own practice.

Principle 4: Educators collaborate with colleagues and other professionals in the interest of student learning.

Educators encourage and support their colleagues to build and maintain high standards. They participate in decisions regarding curriculum, instruction and assessment designs, and they share responsibility for the governance of schools. They cooperate with community agencies in using resources and building comprehensive services in support of students. Educators respect fellow professionals and believe that all have the right to teach and learn in a professional and supportive environment. They participate in the preparation and induction of new educators and in professional development for all staff.

Principle 5: Educators collaborate with parents and community, building trust and respecting confidentiality.

Educators partner with parents and other members of the community to enhance school programs and to promote student learning. They also recognize how cultural and linguistic heritage, gender, family and community shape experience and learning. Educators respect the private nature of the special knowledge they have about students and their families and use that knowledge only in the students' best interests. They advocate for fair opportunity for all children.

Principle 6: Educators advance the intellectual and ethical foundation of the learning community.

Educators recognize the obligations of the trust placed in them. They share the responsibility for understanding what is known, pursuing further knowledge, contributing

to the generation of knowledge, and translating knowledge into comprehensible forms. They help students understand that knowledge is often complex and sometimes paradoxical. Educators are confidantes, mentors and advocates for their students' growth and development. As models for youth and the public, they embody intellectual honesty, diplomacy, tact and fairness.

This Code shall not be used as a basis for discipline by any employer and shall not be used by the State Education Department as a basis for a proceeding under Part 83 of Commissioner's Regulations, nor shall it serve as a basis for decisions pertaining to certification or employment in New York State. Conversely, this Code shall not be interpreted or used to diminish the authority of any public-school employer to evaluate or discipline any employee under provisions of law, regulation, or collective bargaining agreement.

APPENDIX F

ELCC DISTRICT LEVEL STANDARDS

ELCC STANDARD ELEMENTS:

ELCC 1.1: Candidates understand and can collaboratively develop, articulate, implement, and steward a shared district vision of learning for a school district.

ELCC 1.2: Candidates understand and can collect and use data to identify district goals, assess organizational effectiveness, and implement district plans to achieve district goals.

ELCC 1.3: Candidates understand and can promote continual and sustainable district improvement.

ELCC 1.4: Candidates understand and can evaluate district progress and revise district plans supported by district stakeholders.

ELCC 2.1: Candidates understand and can advocate, nurture, and sustain a district culture and instructional program conducive to student learning through collaboration, trust, and a personalized learning environment with high expectations for students.

ELCC 2.2: Candidates understand and can create and evaluate a comprehensive, rigorous, and coherent curricular and instructional district program.

ELCC 2.3: Candidates understand and can develop and supervise the instructional and leadership capacity across the district.

ELCC 2.4: Candidates understand and can promote the most effective and appropriate district technologies to support teaching and learning within the district.

ELCC 3.1: Candidates understand and can monitor and evaluate district management and operational systems.

ELCC 3.2: Candidates understand and can efficiently use human, fiscal, and technological resources within the district.

ELCC 3.3: Candidates understand and can promote district-level policies and procedures that protect the welfare and safety of students and staff across the district.

ELCC 3.4: Candidates understand and can develop district capacity for distributed leadership.

ELCC 3.5: Candidates understand and can ensure that district time focuses on supporting high-quality school instruction and student learning.

ELCC 4.1: Candidates understand and can collaborate with faculty and community members by collecting and analyzing information pertinent to the improvement of the district's educational environment.

ELCC 4.2: Candidates understand and can mobilize community resources by promoting understanding, appreciation, and use of the community's diverse cultural, social, and intellectual resources throughout the district.

ELCC 4.3: Candidates understand and can respond to community interests and needs by building and sustaining positive district relationships with families and caregivers.

ELCC 4.4: Candidates understand and can respond to community interests and needs by building and sustaining productive district relationships with community partners.

ELCC 5.1: Candidates understand and can act with integrity and fairness to ensure a district system of accountability for every student's academic and social success.

ELCC 5.2: Candidates understand and can model principles of self-awareness, reflective practice, transparency, and ethical behavior as related to their roles within the district. ELCC 5.3: Candidates understand and can safeguard the values of democracy, equity, and diversity within the district.

ELCC 5.4: Candidates understand and can evaluate the potential moral and legal consequences of decision making in the district.

ELCC 5.5: Candidates understand and can promote social justice within the district to ensure individual student needs inform all aspects of schooling.

ELCC 6.1: Candidates understand and can advocate for district students, families, and caregivers.

ELCC 6.2: Candidates understand and can act to influence local, district, state, and national decisions affecting student learning in a district environment.

ELCC 6.3: Candidates understand and can anticipate and assess emerging trends and initiatives in order to adapt district-level leadership strategies.

ELCC 7.1: Substantial Experience: The program provides significant field experiences and clinical internship practice for candidates within a district environment to synthesize and apply the content knowledge and develop professional skills identified in the other Educational Leadership District-Level Program Standards through authentic, district-based leadership experiences.

ELCC 7.2: Sustained Experience: Candidates are provided a six-month concentrated (9–12 hours per week) internship that includes field experiences within a district environment.

ELCC 7.3: Qualified On-site Mentor: An on-site district mentor who has demonstrated successful experience as an educational leader at the district level and is selected collaboratively by the intern and program faculty with training by the supervising institution.

APPENDIX G

Interstate School Leaders Licensure Consortium (ISLLC) Standards

Standards and Elements

STANDARD 1: THE VISION OF LEARNING

- 1a. Developing the Vision
- 1b. Communication the Vision
- 1c. Implementing the Vision
- 1d. Monitoring and Evaluating the Vision

STANDARD 2: THE CULTURE OF TEACHING AND LEARNING

- 2a. Valuing Students and staff
- 2b. Developing and Sustaining the Culture
- 2c. Ensuring an Inclusive Culture
- 2d. Monitoring and Evaluating the Culture

STANDARD 3: THE MANAGEMENT OF LEARNING

- 3a. Making Management Decisions to Ensure Successful Teaching and Learning
- 3b. Developing Procedures to Ensure Successful Teaching and Learning
- 3c. Allocating Resources to Ensure Successful Teaching and Learning
- 3d. Creating a Safe, healthy Environment to Ensure Successful Teaching and Learning

STANDARD 4: RELATIONSHIPS WITH THE BROADER COMMUNITY TO FOSTER LEARNING

- 4a. Understanding Community Needs

- 4b. Involving Members of the Community
- 4c. Providing Opportunities for the Community and School to Serve Each Other
- 4d. Understanding and Valuing Diversity

STANDARD 5: INTEGRITY, FAIRNESS, AND ETHICS IN LEARNING

- 5a. Demonstrating a Personal and Professional Code of Ethics
- 5b. Understanding One's Impact on the School and community
- 5c. Respecting the Rights and dignity of All
- 5d. Inspiring Integrity and Ethical Behavior in Others

STANDARD 6: THE POLITICAL, SOCIAL, ECONOMIC, LEGAL, AND CULTURAL CONTEXT OF LEARNING

- 6a. Operating Schools on Behalf of Students and Families
- 6b. Communicating Changes in Environment to Stakeholders
- 6c. Working within Policies, Laws, and Regulations
- 6d. Communicating with Decision-Makers Outside the School Community

(NYSED, *ISLCC*)

APPENDIX H

Professional Standards for Educational Leaders

Standard 1-Mission, Vision, and Core Values

Standard 2-Ethics and Professional Norms Ethics and Professional Norms

Standard 3-Equity and Cultural Responsiveness

Standard 4-Curriculum, Instruction, and Assessment

Standard 5-Community of Care and Support for Students

Standard 6-Professional Capacity of School Personnel

Standard 7-Professional Community for Teachers and Staff

Standard 8-Meaningful Engagement of Families and Community

Standard 9-Operations and Management

Standard 10-School Improvement

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