

## CHAPTER II

### REVIEW OF LITERATURE

Chapter II is a review of the literature related to the problem of this study. The purpose of this chapter is to examine the current state of knowledge regarding the personnel responsibilities of either the person primarily responsible for the personnel function or the superintendent in school divisions with 5,000 students or less in the Commonwealth of Virginia. In order to provide a comprehensive overview of personnel functions in small divisions in Virginia, this chapter has been organized to include the topics of the history of personnel management in public school districts and the personnel function in education.

School divisions will be forced to deal with a host of problems that have extensive implications for personnel functions. Examples include technology usage both inside and outside the classroom, alternative approaches to teacher licensure and certification, increased accountability for student learning for administrators and teachers, and increased legislative mandates. Although from a public administration perspective, “Goode [cited in Hays, 1989, p. 110] predicted that population shifts, technological advances, and increased professionalism would generate... challenges for... [personnel workers] in both government and industry. Plotnick (1995) indicated that the movement toward educational reform in the future will be greatly influenced by technology in the United States. The examination of the history of personnel management will provide insight into the depth of these problems, thus this greater understanding can be used for solving them.

Castetter (1996) stated, “Tomorrow’s personnel managers, regardless of school system size, will face additional challenges as they address pressing social needs”

(p. 3). “The goals of the personnel function in any educational system are to attract, develop, retain, and motivate personnel in order to (a) achieve the system’s purposes, (b) assist members in satisfying position and group performance standards, (c) maximize personnel career development, and (d) reconcile individual and organizational objectives” (Castetter, 1996, p.5). “Unfortunately, many school districts still see the personnel function only as the hiring of competent teachers” (Rebore, 1998, p. 13). The personnel function is “not discrete, isolated entities, but rather, integral aspects of the same function” (Rebore, 1998, p. 13).

### History of Personnel Management in Public Schools

“The human resource management function is one of the major tasks to be performed in educational administration” (Jones & Walters, 1994, p. 3). The literature indicates that someone in the organization must assume responsibility for specific job responsibilities such as recruiting, selecting, protecting the rights of employees, and providing for the staff development of all staff members. “The use of experts with specialized training and skills in the performance of administrative functions is a relatively recent development. In fact, personnel administration has emerged largely within the twentieth century” (Jones & Walters, 1994, p. 3).

Harris, McIntyre, Littleton and Long (1979) indicated that industry has historically lead the way for public schools in implementing concepts that enhance the well-being of employees. The personnel management process is no exception to this slow acceptance by public schools. Prior to 1900, ‘select’ lay committees assumed

personnel duties in education (Webb, Greer, Montello & Scott, 1987, p. 1). The special lay committees were composed of local officials and religious leaders (Lucio & McNeil, 1969). Although they had little knowledge of the educational process, the select committees were not reluctant to criticize, make suggestions, or recommend the dismissal of a teacher. Webb et al. (1987) stated that the emergence of the superintendent position during the 1800's caused a waning of the powers of the select committee. Lucio and McNeil (1969) indicated that by 1870, 29 superintendents of schools served school districts across the nation (cited in Webb et al., 1987, p. 2).

Webb et al. (1987) found that "prior to 1900, there was little evidence of an organized central personnel office in school systems; however, education began to initiate personnel practices similar to those in industry. One common practice was to delegate certain activities, such as compensation, record keeping, and support personnel matters, to the business officer" (p. 3). During the early nineteenth hundreds, the personnel function in elementary and secondary school districts was regularly performed by principals, assistant superintendents, and superintendents. In the later 19th century, the business officer became a part of the central office staff and performed some personnel functions for employees other than teachers (Gibson & Hunt, 1965). During the first decade of the twentieth century the assignment of the personnel function to an administrative position became a growing practice. By the end of the second decade "personnel administrator" had become the common title for one who performs this function (Jones & Walters, 1994).

After the end of World War I, school districts focused more attention on the personnel function in public schools. Moore (1966) stated, “the recruiting, training, and paying of masses of workers in war production forced assignment of such responsibilities to specialized personnel (p. 5). Prior to the war, Taylor (1911) had introduced his scientific philosophy and approach to management. Taylor's ideas contributed greatly to improving the human resources aspects in the work place (Chandler & Petty, 1955). During the third and fourth decades of the twentieth century, the human relation’s movement helped to shift the emphasis to show that personnel attitudes affected productivity.

According to Harris et al. (1985), the first appointment of a personnel administrator was made in public school systems in 1919, when the Dallas, Texas, school district added to the central office staff the position of assistant superintendent for personnel. In the 1920s, other public school districts including Cleveland, St. Louis, and Pittsburgh added personnel administrators to the central office staff to manage the personnel function (Harris et al. (1985). During these years the personnel function “focused on the need to develop better procedures for teacher selection in large city systems” (American Association of School Administrators as cited in Harris, et al, 1985, p. 52).

Harris et al. (1985), further pointed out that during the 1930s and 1940s, there was no “rapid expansion in the number of personnel departments in school districts” (p. 52). It was not until after World War II that the number began to grow rapidly.

"During and subsequent to World War II there was again a critical need for teachers, resulting in renewed interest in the personnel function, particularly recruitment" (Gibson & Hunt, 1965, p. 92). The post-World War II baby boom resulted in an explosive population growth during the late 1950s and 1960s. The result was a need for personnel at all levels to operate the school districts. Human resource management began to play a greater role in the personnel function. The demand for a more efficient process of hiring large numbers employees created the need for the position of personnel manager, now known as director of human resources.

It was not until the late 1960s and 1970s that very rapid growth occurred in the number of personnel administrators in public school districts. The number of new personnel departments increased while, at the same time, existing personnel operations expanded their services (Harris et al., 1985). Such operations were even added to smaller school districts (Harris et al, 1985). In 1960, the American Association of School Personnel Administrators established its first "criteria for testing school system's personnel program in terms of accepted principles" and developed a general statement regarding the functions of personnel administration (AASPA as cited Harris et al, 1979, p.67) . Webb et al. (1987) also noted that during 1960's, and thereafter, major implications for the development of personnel practices began to emerge:

The factors of population growth including an increase in both the number of schools and the need for teaching and support personnel, the increase of the activities and earnest of teacher organizations, the growing influence of legal

mandates and requirements including civil rights and due process considerations, and the introduction of collective negotiations had notable influences on the personnel function. In addition, the concern for accountability and increased quality in education and the growth of professionalism in personnel administration brought added importance to the personnel area in education. Each new development, issue, or problem in education has resulted in new demands for more effective personnel policies and practices. (p. 13)

The 1980's helped personnel managers to distinguish between policy-making and the execution of policy. Almost every issue in education had numerous implications for the personnel unit (Webb et al. 1987). For example, white flight from the cities resulted in enrollment decline in those districts and often caused problems of growth in nearby suburban areas. While some school districts were establishing personnel policies to deal with reduction-in-force, others were experiencing teacher shortages. The 1990's afforded an opportunity and a challenge to become more intimately involved in the total human resource management process; whereas, in the early days of development of the field human resource managers devoted much of their time to tasks, problems, and issues that arose in practice.

#### The Personnel Function in Education

A lack of uniformity exists among school districts as to what functions constitute a personnel department. The American Association of School Personnel Administrators (AASPA, 1988) published the Standards for School Personnel Administration in 1960 as a statement of principles and functions of personnel administration and a means of evaluating personnel programs in public schools. The association defined standards as broad goals by which the program of personnel

administration in the public schools may be evaluated. The twenty-seven standards are comprised of 217 statements of policies and practices. Policies are objectives to be achieved while practices are activities necessary for the implementation of policies.

The personnel function can be described, according to Castetter (1996), as planning, bargaining, recruitment, selection, induction, appraisal, development, compensation, justice, continuity, and information (p. 5). This function must be performed somewhere in the school system if the mission and objectives are to be fulfilled. The realization of the goals of this function should be achieved with a spirit of cooperation and with proper regard for the well being of all personnel of the school district. Specifically, personnel administration should include selecting and assigning employees, providing employees with training for particular jobs, administering health and safety programs, supervising employment contract negotiations, and handling grievance and disciplinary problems. Every school district has a personnel function, whether or not a specific position title exists or not in the organization to carry out personnel policies and procedures (Castetter, 1986).

The operation of educational institutions is "distinctly different from most industrial enterprises. In schools..., the facilities, materials, and equipment are important but less crucial to the productive processes (teaching and learning) than the quality of personnel involved" (Harris et al., 1985, p. 1).

According to Kerr and Rosow (1979), "Personnel specialists and departments make significant contributions to organizational effectiveness as reflected in their objects and goals" (p. 14). In describing the role of the personnel department in educational institutions, Fawcett (1979) suggested that personnel administration can be identified in public school systems "(1) as a staff function; (2) as a skilled professional activity; and (3) as an integral part of the goal accomplishment process of a public

school system" (p. 1).

### Planning

According to Seyfarth (1996), "Most personnel decisions have either a direct or indirect impact on the quality of instruction" (p. 1). When a personnel decision such as the employment of a teacher, or when an evaluation system is developed and implemented, or when a reduction-in-force policy is adopted, "there are likely to be implications for the quality of instruction" (Seyfarth, p. 1). In defining the nature of planning, Seyfarth noted that it is a process that "involves identifying a desired future state, assessing conditions and trends that may influence the organization's ability to achieve that state, and developing strategies to reach the goal" (p. 19). Castetter (1996) stated "Planning is humanity's way of projecting intentions" (p. 38). In defining the nature of planning, Ackoff (1970) noted that it is a special kind of decision-making process:

(1) Planning is something we do in advance of taking action, that is, it is anticipatory decision making; (2) planning is required when the future state that we desire involves a set of interdependent decisions, that is, a system of decisions; (3) planning is a process directed toward producing one or more future states that are desired and that are not expected to occur unless something is done. (p. 2)

Foulkes and Morgan (1977) stated that in the planning function, the systems approach provides the personnel administrator with a more holistic understanding of

how the school system functions and the various components fit together to create a successful operation.

Lewis (1983) emphasized the importance of the personnel planning function when he wrote:

The most important factor determining the success or failure of the [personnel] planning process is how well the program has been implemented.

Implementation will involve the establishment of a [personnel] planning staff to prepare, carryout, and evaluate its effectiveness. . . .When there is good planning, there is good management; the two cannot be separated. (p. 219)

Rebore (1998) summarized the planning process as a means by which "... a school district ensures that it has the right number of people, with the right skills, in the right place, and at the right time and that these people are capable of effectively carrying out those tasks that will aid the organization in achieving its objectives" (p. 26).

### Recruitment

In the 1970's, many school districts experienced a sharp decrease in pupil enrollment (Rebore 1998). As a result of this dramatic drop in the number of school age children, school districts were forced to lay off large numbers of teachers, which also impacted the number of college students going into the teaching profession.

Rebore (1998) stated "This situation was compounded by large numbers of teachers retiring in the 1980's and by many teachers defecting to the business community (p. 78). The result is that in the 1990's school districts across the country experienced a

significant shortage of teachers particularly in certain teaching and demographic areas. These teaching areas tended to be, depending on the district geographic proximity to a college with teacher education training programs, special education, math, and science. The demographic shortages rest more with minorities in all teaching areas and males at the elementary level. Therefore, the recruitment process had become even more important to school districts as they searched for the right people with the right skills that could help the district achieve its mission and objectives. The goal of a recruitment program according to Rebores is “not to hire just to fill a position, but rather to acquire the number and type of people necessary for the present and future success of the school district” (p. 78).

Castetter (1996) referred to recruitment as “those activities in personnel administration designed to attract the numbers and quality of personnel needed to carry on the work of the school system” (p. 86). Castetter further emphasized that recruitment is “viewed as a unified staffing effort involving an internal dimension (moving qualified individuals up from within), an external dimension (moving outside personnel sources into the system), and an integrative dimension ensuring that recruitment activities function harmoniously to reinforce each other” (p. 87).

Effective recruiters consider the needs of the educational organization, the individual, and those of society as well. The recruiting process seeks to attract qualified individuals while providing measures that retain quality employees in the educational organization. Activities associated with affirmative action programs tend to influence the legal commitments and obligations of the recruitment process (Schuler, 1984).

### Selection

Castetter (1996) defined selection as a “decision-making process in which one individual is chosen over another to fill a position on the basis of how well the characteristics of the individual match the requirements of the position” (p. 133).

Seyfarth (1996) suggested that selection should hinge on the worth or value that a person can bring to the position as determined by the employer. Peterson and Tracy (1979) defined selection as the process of evaluating the characteristics of a group of candidates and then choosing the individuals who are considered the best fit for the organization.

According to Robbins (1982), every organization has vacancies created by additional positions, turnovers, or promotions. In order to meet the requirement of filling the vacancies, it will require the establishment of specific policies and procedures. Fulmer (1983) noted that the important task in the selection process is that of examining the mental, physical, personal, and professional characteristics of each individual in order compare those to the expectations of the organization.

Much effort, including federal and state legislation, has been expended to alleviate “criticism of casual haphazard, unsystematic, highly personalized, and esoteric plans for judging the worth of individuals to organizations” (Castetter, 1996, p. 271). Castetter (1996) emphasized that there is “federal and state civil service legislation governing the *rating* of personnel, such as the Federal Civil Service Classification Act of 1923, the Taft Hartley Labor Act of 1947, the Fair Labor

Standards Act of 1963, the Civil Rights Act of 1964, and later the Equal Employment Opportunity legislation during the 1970's" (p. 271).

The Americans with Disabilities Act of 1990 has brought about changes in the selection process by introducing the concept of essential functions. These are tasks that are fundamental to a particular job and that an employee must be able to perform in order to be considered qualified for the position (Seyfarth, 1996). Essential functions are identified by analyzing information from sources such as job models, state and federal statutes, mission statements, and job characteristics. Kersten (1997) underscored the significance of the selection function when he stated:

So selecting teachers who agree with the educational philosophy of the district and who fit in with the staff of the school is clearly a top priority for administrators and school board members. You cannot afford to short cut the hiring process or rely on out-dated personnel selection practices. You must aggressively seek out the best. (p. 40)

### Induction

Castetter (1996) described an induction process that goes beyond the conventional view that it is concerned only with personnel new to an assignment:

As a systematic organizational effort to assist personnel to adjust readily and effectively to new assignments so that they can contribute maximally to work of the system while realizing personal and position satisfaction. It includes personnel assuming new assignments after returning from a leave of absence,

those reassigned because of system or unit reorganization, or those assuming new roles because of a reduction in the work force. (pp. 182-183)

According to Armstrong (1977), induction is the process of receiving and welcoming a new employee and providing the basic information needed to become integrated into the organization. Induction should result in a feeling that the new appointee is an integral part of the school system and the community it serves. The induction process should facilitate identification of the individual with the educational institution by recognizing the needs of the individual for belonging, security, and recognition (Peterson & Tracy, 1979; Beer, Spector, Lawrence, Mills, & Walton, 1984).

Rebore (1998) indicated induction is also the process for acquainting reassigned employees with their new school, program, and colleagues. An effective induction program must have well-defined objectives that will help the employee to feel welcome and secure, to become a member of the “team,” to be inspired towards excellence in performance, to adjust to the work environment, and to become familiar with the school community (p. 147).

Galvez-Hjornevik (as cited in Wollman-Bonilla, 1997) indicated that, “Mentoring programs are commonly viewed as efficient ways to induct new teachers into the profession and into a school district through collegial ‘support and guidance’” (p. 50). Beginning teachers, according to Darling-Hammond (1998), “...who have had the continuous support of a skilled mentor are much less likely to leave the profession

and supported novices are much more likely to get beyond classroom management concerns to focus on student learning” (p. 9).

### Appraisal

The appraisal of teachers’ performance is as old as the education profession” (Rebore, 1998, p. 181). Performance appraisal is an essential process of the personnel function. Current emphasis on individual performance effectiveness, organizational productivity, and accountability reinforces the need for employee appraisals. Rebore (1998) argued that regardless of the nature of the school district, all positions have the common characteristic of the following universal reasons for appraisal:

1. ...fosters the self-development of each employee.
2. ...helps to identify a variety of tasks that an employee is capable of performing.
3. ...helps to identify staff development needs.
4. ...helps to improve performance.
5. ...helps to determine if an employee should be retained in the school district and how large a salary increase he or she should be given.
6. ...helps to determine the placement, transfer, or promotion of an employee.

(p.182)

According to Rausch (1985), "Performance [appraisal] management is a multi-step process for encouraging or stimulating performance which exists in every organization, either formally or informally" (p. 5). Dobrish, Wolff, & Zevnik (1984)

wrote:

A performance-appraisal system measures the ensuing results, not what employees are likely to do, but what they have done . . . . Additionally, performance appraisals help provide solutions to such management problems as excessive turnover, scarcity of skilled employees, the readiness of entry-level employees for promotion, or the effectiveness of line managers. (p. 176)

Rausch (1985) noted that "a good performance management system can be relied on to provide valid information about the performance . . . of employees" (p.11). Performance appraisal should be an ongoing process that determines the success toward mutually established goals. An effective appraisal program provides an employee with a clear understanding of district expectations and the expected outcomes of their performance (Haynes, 1984; Heneman, Schwab, Fossum, & Dyer, 1983). Rausch (1985) stressed fairness as the guiding principle for implementation and administration of performance evaluation.

### Compensation

Castetter (1996) noted "Compensation planning is concerned with all personnel at every position or job level in the system and with all phases of personnel compensation, including salaries, wages, collateral benefits, non salary payments, and non-economic provisions" (p. 467). Seyfarth (1996) stated, that "education is a labor-intensive enterprise. A larger share of school funds is spent to pay personnel than for any other purpose" (p. 171). Compensation is a major function as it is estimated that school budgets allocated for personnel costs range from 80 percent and above (Rebore, 1998).

There are several reasons for having wage and salary programs. Aft (1985) argued,

If employees are to make the enterprise successful, the relationship between the managers and the employees should be at least a satisfactory one.... One of the largest costs many companies face is that of compensating its employees.... Wages and salaries... must be controlled... if an enterprise is to be successful in its field. (pp. 2-4)

A vast difference exists in the administration of wages and salaries in education and that in the private sector. This difference can be attributed to the manner in which the two are financed. Public schools are financed by revenue derived from taxes, which in some states can be increased to meet higher expenses only by voter approval. The private sector can increase the price of an item at any time to offset costs (Rebore, 1998). As in private industry, there are certain laws and regulations relating to compensation of educational employees. Aft (1985) listed several of these laws and regulations including the Social Security Act of 1935, the Fair Labor Standards Act of 1938, the Equal Pay Act of 1963, Title VII, and the Civil Rights Act of 1964. Rebore (1998) further stated that the Small Business Job Protection Act of 1996 does not directly pertain to school districts, but budgets must be adjusted to account for the required increase in wages. “[Classified, hourly workers]... are probably the employees most affected by the new law” (p. 256).

The school district's compensation program must be administered properly and must command a great deal of attention from the personnel administrator. The compensation plans must be internally consistent and externally competitive. Salaries

should also be commensurate with the type of jobs held by personnel in the organization. Further, the compensation structure must provide for the economic, psychological, and social well being of employees of the educational enterprise (Rebore, 1998).

### Development

According to Castetter (1986), the essence of personnel development is “to attract, retain, and improve the quality and quantity of desired staff members” (p. 291) for accomplishing organizational goals. Schuler and Youngblood (1986) noted,

Development can also increase the level of commitment of employees to the organization and also their perceptions that the organization is a good place to work. Greater commitment can result in less turnover and [an increase in the] organization's productivity. (p. 389)

In explaining that staff development has become an innovative process, which will enhance the education of youth in America, Rebore (1998) wrote:

Creating a staff development program consists of six separate but sequential processes: (1) establishing school district goals and objectives, which become the foundation of the program; (2) assessing the needs of the school district employees to determine if there is a discrepancy between the competencies of the staff and the requirements of the organization; (3) establishing staff development goals and objectives; (4) designing a program that will meet the staff development requirements; (5) implementing the designed plan in such a way that effective learning may occur; and (6) evaluating the program to

ascertain if it is meeting its objectives, which in turn will affect future program designs. (p. 176)

### Justice

Justice is the process of making arrangements to protect personnel from threats that affect both their productivity and self-actualization (Castetter, 1996, p. 325).

Castetter (1996) has observed,

The concept of personal justice... may be introduced by the observation that in the course of making a living, people are exposed to many kinds of employment insecurities. The threat of losing one's position, status, power, and relative freedom of action or speech has always existed in all types of organizations. ...The scope of ...provisions for lessening work-related anxieties of individuals employed in the field of education . . . [include] . . . constitutional protection of the First and Fourteenth Amendments, continuing employment (tenure), post employment financial security (retirement benefits), protection from arbitrary treatment (grievance procedure); position and financial safeguards in the event of illness or temporary disability; and the support of unions or teacher associations to maintain and to extend ways of continuing member security within the school system. (p. 324)

Castetter (1996) indicated that "grievance administration comprises the greatest amount of activity in bargaining relationships and requires an understanding of

how the procedure operates, channels for minimizing formal grievances, and complexities associated with their settlement” (p 331).

Grievance procedures allow employees of an organization to submit in a formal manner complaints about violations of a school district's policies, rules, procedures, or regulations. School systems that fail to follow adopted practices for addressing concerns of employees maybe inviting unionization (Sikula & McKenna, 1984). According to Alexander and Alexander (1992) the prospect of unionization would not apply in Virginia because it does not permit collective bargaining. Binding arbitration in the state is an unlawful denial of local board power and an unwarranted delegation of authority as determine by the Supreme Court of Virginia in School Board of the City of Richmond v. Parham (Alexander & Alexander, 1978). “A grievance procedure is contained in Virginia law, and the procedure must be in the school division’s policy manual” (Jones & Barrack, 1998, p. 72).

A personnel guide or employee handbook is an excellent method of communicating the grievance procedure to employees. In the guide or handbook, information such what is a grievance, how should it be presented, the initial process or steps, appeal procedure, and time limits for each phase of the process (Mathis & Jackson, 1985).

According to Jones and Barrack (1998) the grievance process in Virginia defines “who can file a grievance, what can be grieved, necessary steps in the process, and timelines. An employee has a protected right to file a grievance” (p. 72). An

employee cannot be dismissed except through legally specified procedures established under the provisions of the state of Virginia grievance procedure.

### Continuity

A school system should determine the nature and scope of provisions for maintaining continuity of personnel services (Castetter, 1996). As a part of the personnel continuity process, the educational enterprise should define policies regarding leaves of absence, substitute service, health, safety, promotion, reassignment, separation, resignation, layoffs, termination, and retirement” (Castetter, 1996, p. 369). Continuity plans should relate to improving the system's capability to perform its mission, as well as providing the system's employees with a good physical, psychological, and organizational environment (Castetter, 1986).

### Information

Schuler and Youngblood (1986) suggested that "the management of people requires gathering, updating, and maintaining information to guide a variety of personnel decisions" (p. 18). According to Castetter (1996), “Information is intimately bound up with planning, organizing, directing, and controlling a school system. It plays a critical role not only in maintaining the daily life of the organization, but also in providing for its survival and growth” (p. 418).

Farland (1997) suggested a need for unit record data collection and integrated, relational databases. Such mainframe databases would serve to integrate each

personnel function with individual records that interact with other operations of the school division. The apparent need for future databases will consist of individual records, which can be related in any way necessary and at any organizational level. McLean (as cited in Johnson, 1997) contends that the development and implementation of a data collection system could influence an improvement of education like no other educational change of the last century.

### Summary

The review of the literature was helpful in establishing the personnel functions and job responsibilities that were included in the questionnaire. The ERS report: [Public school personnel administration in the United States and Canada](#) reported 65 responsibilities that formed the basis for the questionnaire. Rebore (1996), Seyfarth (1998), and Castetter (1996) were used to group the job responsibilities under ten headings or domains: planning, recruitment, selection, induction, appraisal, compensation, development, justice, continuity, and information.