Paper Number: PN022144

Paper Title: Imposed Accountability: Evaluating Legal and Accounting Practices

Author(s):

Professor Eleanor Brown, Pomona College, Claremont, CA, USA

Description

A principal of theme of this year's ARNOVA conference is Accountability and the Public Trust. Accountability involves both self-monitoring within nonprofits and external monitoring by public and private agencies. In this panel, scholars from several academic disciplines bring together their expertise to assess the legal and accounting environments in which nonprofits operate, and the potential for enhancing accountability through legal and accounting standards.

To comment on the legal structure through which nonprofits are regulated, legal scholar Evelyn Brody reviews a project initiated by the American Law Institute, "The Law of Nonprofit Organizations," in which she plays a leading role. Economist Renee Irvin takes a detailed look at the regulatory environment in which nonprofits operate. She asks the question: Given that imposed regulatory accountability carries with it significant compliance costs, and given the realities of multiple, often conflicting regulations in various states in which a nonprofit might operate, has the public push for accountability gone far enough? The answers appears to be yes, and then some. Finally, Professor of Accounting Janet Greenlee examines the possibilities for effective oversight of nonprofits' finances through accounting practices. She considers several proposals for reform, including mandating that Forms 990 be audited and that oversight be transferred from the Internal Revenue Service to an organization analogous in function to the Securities and Exchange Commission.

Paper Number: PN022144.1

Paper Title: Challenges for Improving the Legal Accountability of Nonprofit Organizations

Author(s):

Prof. Evelyn Brody, Chicago-Kent College of Law, Chicago, IL, USA

Summary of Research

: The proposed presenter has recently been appointed one of two Reporters by the American Law Institute for its new project on "The Law of Nonprofit Organizations." For the ARNOVA conference, I would like to present preliminary thoughts about the current legal structure for nonprofit accountability to its stakeholders and to regulators, and possible improvements.

Description

: The proposed presenter has recently been appointed one of two Reporters by the American Law Institute for its new project on "The Law of Nonprofit Organizations." This major project, which is expected to take at least five years, faces the difficult task of describing "the law" of nonprofit organizations in the absence of much reported enforcement and case law. By necessity, the project will not only catalogue existing principles and authorities, but also will suggest "best practices" for broad adoption as well as areas for reform. At this initial stage, the Reporters (with help from a small group of advisors) will be framing the issues. For the ARNOVA conference, I would like to present preliminary thoughts about the current legal structure for nonprofit accountability to its stakeholders and to regulators, and possible improvements.

Paper Number: PN022144.2

Paper Title: Nonprofit Accountability and the State Attorneys General: Trading a Little Fraud for a Lot of Forms

Author(s):

Dr. Renee Irvin, University of Oregon, Eugene, OR, USA

Summary of Research

Two decades of increasing state regulations for nonprofit organizations and charitable solicitation have resulted in a 50-state jumble of fees, registration, auditing, and financial reporting requirements. In this article, we examine the efficiency of the state regulatory efforts with a theoretical and empirical approach. Data on estimated annual costs to nonprofit firms of compliance analyzed with state prosecution cost data suggest that the public is likely to receive the largest potential net benefits from elimination of charitable solicitation regulations, despite an anticipated increase in charitable solicitation fraud.

Description

Two decades of increasing state regulations for nonprofit organizations and charitable solicitation have resulted in a 50-state jumble of fees, registration, auditing, and financial reporting requirements for charities that solicit donations. For example, some states require that a charitable organization maintain a functioning office in their state if the organization solicits funds – via direct mail, telemarketing, or even passive online solicitation – from any donor who resides in that state. Fund raising professionals' objections to the regulatory complexity have proven to be less compelling than public demands for better accountability of the nonprofit sector.

In this article, we examine the efficiency of the state regulatory efforts with a theoretical and empirical approach. The article first models state agents such as attorneys general in their attempt to reduce nonprofit organization fraud and increase expected tax revenue. We incorporate into our model the behavior of the nonprofit firm with a choice of compliance vs. noncompliance for a 2-state environment. The theoretical modeling suggests that regulations will continue to tighten in a state "accountability race" at the same time that compliance declines – an unstable path resulting in either zero compliance and fraud; or full compliance and no fraud. Both cases imply a loss of public goods – either from misrepresentation of charitable activities in cases of fraud, or from fewer nonprofit goods and services produced, due to high compliance costs.

The empirical portion of the article analyzes a proposed decrease in regulation. Potential costs of altering regulatory stringency are described as costs to the public of fraudulent solicitation, loss of donations, costs to the organization of compliance, and costs to the state regulator of both administering the regulation and prosecuting fraudulent solicitors. Data from sample states with differing regulatory requirements are reviewed for information on contrasting levels of state expenditure on charitable organization oversight and prosecution of charitable fraud. Data on estimated annual costs to nonprofit firms of compliance analyzed with state prosecution cost data suggest that the public is likely to receive the largest potential net benefits from elimination of charitable solicitation regulations, despite an anticipated increase in charitable solicitation fraud. The article provides surprising evidence that – despite the ever-increasing calls for accountability in the nonprofit sector – gains to the public are more likely to come from removing state regulatory oversight of nonprofit organizations.

Paper Number: PN022144.3

Paper Title: Is Accountability in Nonprofit Accounting an Oxymoron?

Author(s):

Dr. Janet Greenlee, University of Dayton, Dayton, OH, USA

Summary of Research

The tremendous increase in the availability of nonprofit financial information has profound implications. In light of this and the recent scandals regarding financial reporting and accounting firms, I analyze the impact of several possible changes in accounting practice, including removing the development of nonprofit financial accounting standards from the purview of the Financial Accounting Standards Board, mandating nonprofit training for CPAs working with nonprofit organizations, auditing Forms 990, and the creation of an oversight body on the model of the Securities and Exchange Commission.

Description

Description: The tremendous increase in the availability of nonprofit financial information has profound implications. Nonprofits can no longer claim that the media does the sector a disservice by focusing only on the "bad apples". A "Gresham's Law" for nonprofits may exist, where the "bad apples" drive out the "good guys (Greenlee 2000)." In light of this and the recent scandals regarding financial reporting and accounting firms, I analyze the following inter-related questions:

1. Should the development of financial accounting standards be removed from the Financial Accounting Standards Board?
2. Should CPAs be required to undergo special training before being permitted to audit any nonprofit organization?
3. Should CPAs audit Form 990s (which are publicly available) instead of financial statements (which may not be so available)? Or, should these financial statements be required to be as widely available as Form 990s are presently?
4. Should oversight of nonprofits be removed from the Internal Revenue Service?
5. Should an SEC-like organization be formed to provide oversight and regulate the nonprofit sector?
6. And, finally, can accounting ever be used to assure accountability in this sector?

This paper builds on the work of nonprofit accounting scholars who have begun to question existing nonprofit reporting requirements, including Greenlee (2000), Keating and Frumpkin (2000), Greenlee and Gordon (1999, Tinkelman (2002).

Paper Number: PN022145

Paper Title: Advancing Nonprofit Informatics: The Educational Challenge for Nonprofit Management Programs

Author(s):

Dr. John McNutt, Boston College, Chestnut Hill, MA, USA

Description

Advancing Nonprofit Informatics: The Educational Challenge for Nonprofit Management Programs

Technology is a serious issue for the nonprofit sector (Blau, 2001). Many nonprofit organizations fall clearly on the wrong side of the digital divide. There is considerable interest in rectifying this situation through a number of venues (Independent Sector, 2001). It is critical that nonprofit education be a part of this emerging discussion. If the future of nonprofit leadership does not have the perspectives and skills needed to properly use technology, there is little hope that the sector will be able to make the best use of these new tools. The literature provides little comfort for, while there is some literature on nonprofit management education, very little of it deals with technology issues.

The explosion of Information and Communications technologies has created a series of new challenges for nonprofit educators (Fellen, 2001). Not only has the adoption of these technologies by nonprofit organizations created the need for new curriculum content, but the parallel growth of instructional technology has important implications as well.

This panel will explore these issues in four interrelated papers. The first paper provides an empirically based assessment of the state of technology education in the field. This is followed by a discussion of the education and practice issues in the area of nonprofit technology. The final two papers will showcase two innovative approaches to teaching nonprofit management content with technology. This panel should be a stimulating and enlightening experience for participants and should further the conversation about how technology can be used to further the development of nonprofit informatics.

Papers

Technology Use and Technology Content in Nonprofit Management Programs

Information and communication technology is clearly a major part of both teaching and learning environments and the tool set that nonprofit managers need to acquire. While there is considerable literature on the need for nonprofit managers to have technology skills and to use technology, there is a dearth of literature about their preparation. This research will attempt to fill that gap by providing a baseline assessment of what types of skills are being taught and what instructional technology is being used to prepare future nonprofit leaders.

The research pursues five research questions: (1) Why types of technologies are being taught in nonprofit management programs? (2) What types of technology are being used to deliver the nonprofit management curriculum? (3) Is there a relationship between the host discipline and the types of technologies that are being taught in nonprofit management programs? (4) Is there a relationship between the host discipline types of technology that are being used to deliver the nonprofit management curriculum? (5) What are the principle barriers to technology being used to deliver the nonprofit management curriculum?

Diffusion of innovation theory will provide the theoretical framework for the study. Subjects are identified using the list developed by Wish and Mirabella (2001) (n=91). A mailed questionnaire is used for data collection. The questionnaire will address the major topics in teaching about technology. It will also identify major types of instructional technology.

This survey will be useful to nonprofit managers and educators as they try to build a more technology able nonprofit workforce. It will also provide insights into the nature of technology in curriculum and educational program delivery.

Measuring Our Digital Divides

The importance of information technology (IT) for nonprofit organizations
(NPOs) is now widely recognized (Glasrud, 1999; Blau, 2001; Independent Sector, 2001). The importance of information literacy, and therefore IT literacy, to virtually all members of society is also becoming widely recognized. Like all other organizations, NPOs need information literate employees and volunteers. In addition to their internal needs, many types of NPOs are involved in improving the information literacy of their clients. The wide disparity in IT literacy and use among groups and individuals has been termed the "digital divide". There are voluminous discussions about what creates a digital divide, ranging from hardware and software access in K-12 schools to gender, race and socio-economic status. Global digital divides-- the disparities in IT access and use among various countries and regions of the world-are important to NPOs that operate globally or internationally. Although the importance of IT and the existence of numerous digital divides now both are widely recognized, we are just beginning to learn how (best) to achieve and measure IT literacy. Each individual NPO faces the challenge of understanding how much of what types of IT it needs and of learning on which bank of the digital divide its employees and volunteers stand. If an individual NPO is not where it needs to be, how can it get there? What kinds and levels of IT literacy should NPOs expect prospective employees and volunteers to have? What kinds and levels of IT literacy should NPO educators, from traditional undergraduate degree to continuing professional education programs, be providing, and how? Should a NPO education program have IT literacy pre-requisites? If so, what should they be and how do we know that entering students meet them? These issues will be elaborated, and the existing state of the art in addressing them will be discussed.

Improving Graduate Students Performance as Discussion Leaders in an Online Grant Writing Course

The purpose of this research was to observe the use of a mentoring taxonomy, developed as a tool to improve threaded discussion of Grant Writing issues (Bonk, & King, 1998). Procedures: Participants were provided with a handout describing mentoring strategies they could use as discussion facilitators. They were randomly assigned a week to be discussion leader. Discussions were started with a case study provided by the professor. Students then led a discussion of the content and tried to reach a consensus of how to address the key issues of the case. Discussion topics ranged from criticism of an existing letter of intent to role-playing assigned board member characters when making decisions about which proposals to fund. All participants were interviewed during the three weeks after they were discussion leader. The interviews focused on: 1) Their experience as discussion facilitator, 2) the usefulness of the mentoring taxonomy, and 3) their experience as discussion participant. Students were given an opportunity to read transcripts of the interviews and make changes. Online discussions were captured and analyzed for effectiveness and usefulness in facilitating discussion and learning. Results indicate that the more closely the students followed the mentoring taxonomy the more successful those discussion were in reaching consensus and leading to students satisfaction with their experience. This paper provides nonprofit management educators with an exciting new technology to facilitate the acquisition of critical skills.

Using the Web to Teach a Graduate Course in Fundraising

This paper describes a course within a Master of Science degree in Organizational Management, designed to prepare its graduates for careers in organizations with a "triple bottom line" – i.e. social, economic, and environmental missions. Because many of the graduates seek positions in the nonprofit and nongovernmental sector, they are required to take courses in Social Entrepreneurship and in Fundraising, Capital Campaigns and Planned Giving. These are critical skills for nonprofit managers. The latter course has been offered for two years, in an eight-week exclusively online format, during the summer months of June through August. In its first year, the course was conducted using the online discussion platform, WebBoard, with a supplemental website. In 2002, the course was moved to the Blackboard course platform. Over forty students will have participated in the course by the end of August

2002, including non-matriculated professionals from Africa and Asia. Prior to taking the Fundraising course, all degree students have taken a course in Applications of Information Technology during which they have used webconferencing extensively. The format of the Fundraising course includes weekly discussion forums, individual and team project work, and online guest discussants. This paper will review the course design and the responses of the participants during the first two years. Special emphasis will be given to the nature of virtual inquiry and the extent to which specific computer-mediated learning environments may enhance or impede it. This paper will provide an overview of the challenges and opportunities that are faced by nonprofit management educators as the attempt to use technology to address critical skill development.

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Paper Number: PN022145.1

Paper Title: Technology on the Playing Fields of Eton: A Study of the Role of Technology in Nonprofit Management Education Programs

Author(s):

Dr. John McNutt, Boston College, Chestnut Hill, MA, USA

Ms. Katherine M Boland, Rowan University, Glassboro, NJ, USA

Summary of Research

This paper reports the results of a study of technology use by nonprofit management education programs. Attention is given to both technology content taught and technology used in the instructional process

Description

Technology Use and Technology Content in Nonprofit Management Programs

Information and communication technology is clearly a major part of both teaching and learning environments and the tool set that nonprofit managers need to acquire. While there is considerable literature on the need for nonprofit managers to have technology skills and to use technology, there is a dearth of literature about their preparation. This research will attempt to fill that gap by providing a baseline assessment of what types of skills are being taught and what instructional technology is being used to prepare future nonprofit leaders.

The research pursues five research questions: (1) Why types of technologies are being taught in nonprofit management programs? (2) What types of technology are being used to deliver the nonprofit management curriculum? (3) Is there a relationship between the host discipline and the types of technologies that are being taught in nonprofit management programs? (4) Is there a relationship between the host discipline types of technology that are being used to deliver the nonprofit management curriculum? (5) What are the principle barriers to technology being used to deliver the nonprofit management curriculum?

Diffusion of innovation theory will provide the theoretical framework for the study. Subjects are identified using the list developed by Wish and Mirabella (2001) (n=91). A mailed questionnaire is used for data collection. The questionnaire will address the major topics in teaching about technology. It will also identify major types of instructional technology.

This survey will be useful to nonprofit managers and educators as they try to build a more technology able nonprofit workforce. It will also provide insights into the nature of technology in curriculum and educational program delivery

Paper Number: PN022145.2

Paper Title: Measuring Our Digital Divides

Author(s):

Dr. Denise Nitterhouse, DePaul University, Chicago, IL, USA

Summary of Research

This paper discusses a number of critical issues concerning the relationship between the nonprofit sector's use of information technology and creation of curricula for preparing nonprofit managers.

Description

The importance of information technology (IT) for nonprofit organizations (NPOs) is now widely recognized (Glasrud, 1999; Blau, 2001; Independent Sector, 2001). The importance of information literacy, and therefore IT literacy, to virtually all members of society is also becoming widely recognized. Like all other organizations, NPOs need information literate employees and volunteers. In addition to their internal needs, many types of NPOs are involved in improving the information literacy of their clients. The wide disparity in IT literacy and use among groups and individuals has been termed the "digital divide". There are voluminous discussions about what creates a digital divide, ranging from hardware and software access in K-12 schools to gender, race and socio-economic status. Global digital divides-- the disparities in IT access and use among various countries and regions of the world-are important to NPOs that operate globally or internationally. Although the importance of IT and the existence of numerous digital divides now both are widely recognized, we are just beginning to learn how (best) to achieve and measure IT literacy. Each individual NPO faces the challenge of understanding how much of what types of IT it needs and of learning on which bank of the digital divide its employees and volunteers stand. If an individual NPO is not where it needs to be, how can it get there? What kinds and levels of IT literacy should NPOs expect prospective employees and volunteers to have? What kinds and levels of IT literacy should NPO educators, from traditional undergraduate degree to continuing professional education programs, be providing, and how? Should a NPO education program have IT literacy pre-requisites? If so, what should they be and how do we know that entering students meet them? These issues will be elaborated, and the existing state of the art in addressing them will be discussed.

Paper Number: PN022145.3

Paper Title: Improving Graduate Students Performance as Discussion Leaders

Author(s):

Dr. William Brescia, University of Arkansas, Fayetteville, AR, USA

Summary of Research

This study reports the results of a study to guage the effectiveness of technology tools in teaching graduate students proposal writing. The technology employed used a menteroring framework and provide students the opportunity to relate and collaborate in virtual space.

Description

The purpose of this research was to observe the use of a mentoring taxonomy, developed as a tool to improve threaded discussion of Grant Writing issues (Bonk, & King, 1998). Procedures: Participants were provided with a handout describing mentoring strategies they could use as discussion facilitators. They were randomly assigned a week to be discussion leader. Discussions were started with a case study provided by the professor. Students then led a discussion of the content and tried to reach a consensus of how to address the key issues of the case. Discussion topics ranged from criticism of an existing letter of intent to role-playing assigned board member characters when making decisions about which proposals to fund. All participants were interviewed during the three weeks after they were discussion leader. The interviews focused on: 1) Their experience as discussion facilitator, 2) the usefulness of the mentoring taxonomy, and 3) their experience as discussion participant. Students were given an opportunity to read transcripts of the interviews and make changes. Online discussions were captured and analyzed for effectiveness and usefulness in facilitating discussion and learning. Results indicate that the more closely the students followed the mentoring taxonomy the more successful those discussion were in reaching consensus and leading to students satisfaction with their experience. This paper provides nonprofit management educators with an exciting new technology to facilitate the acquisition of critical skills

Paper Number: PN022145.4

Paper Title: Using the Web to Teach a Graduate Course in Fundraising

Author(s):

Mr. Paul Ventura, School for International Training, Brattleboro, VT, USA

Summary of Research

This paper presents the results of an effort to provide instruction in nonprofit fundraising within an international context through the use of information technology. The paper discusses the tools and techniques used, provides an overview of the issues and some speculation on next steps.

Description

This paper describes a course within a Master of Science degree in Organizational Management, designed to prepare its graduates for careers in organizations with a "triple bottom line" – i.e. social, economic, and environmental missions. Because many of the graduates seek positions in the nonprofit and nongovernmental sector, they are required to take courses in Social Entrepreneurship and in Fundraising, Capital Campaigns and Planned Giving. These are critical skills for nonprofit managers. The latter course has been offered for two years, in an eight-week exclusively online format, during the summer months of June through August. In its first year, the course was conducted using the online discussion platform, WebBoard, with a supplemental website. In 2002, the course was moved to the Blackboard course platform. Over forty students will have participated in the course by the end of August 2002, including non-matriculated professionals from Africa and Asia. Prior to taking the Fundraising course, all degree students have taken a course in Applications of Information Technology during which they have used webconferencing extensively. The format of the Fundraising course includes weekly discussion forums, individual and team project work, and online guest discussants. This paper will review the course design and the responses of the participants during the first two years. Special emphasis will be given to the nature of virtual inquiry and the extent to which specific computer-mediated learning environments may enhance or impede it. This paper will provide an overview of the challenges and opportunities that are faced by nonprofit management educators as the attempt to use technology to address critical skill development.

Paper Number: PN022152

Paper Title: Keeping the Faith in Faith Based Initiatives?: Negotiating Between Faith Based Community and Government

Author(s):

Jo Anne Schneider, Catholic University, Washington, DC, USA

Description

SUMMARY: This session focuses on the ways that religious affiliated non-profits negotiate between the expectations of government contractors and the faith communities that they are connected with. Issues addressed include: 1) whether or not faith based/faith related non-profits lose track of their religious based mission when they work with government; 2) the relationship between faith based/faith related organizations and local congregations when the non-profits have government contracts; and 3) the experience of churches with government contracts

THIS IS A CGAP PANEL SUBMISSION FOR A DOUBLE SESSION

ABSTRACT: Recent interest in the involvement of churches and faith based non-profits in social service provision in the United States raises a number of issues about the relationship between organizations acting as agencies of government and grass roots communities. While policy scholars debate church/state divisions, non-profit scholars and practitioners focus on issues related to the implementation of public policy through faith related non-profits and churches. Do faith based agencies lose track of their religious mission when they become arms of government? Do churches and small, religious based non-profits have the organizational capacity to administer government programs? Can faith based institutions maintain their obligations to their grass roots communities when implementing government policy initiatives? How do churches and faith based non-profits address issues of social equity and religious freedom when serving people outside of their faith tradition? What are the communication disconnects between government, contracted faith based institution and their religious communities? How can government and church develop a true partnership to better serve local communities?

The proposed session focuses on the ways that religious affiliated non-profits negotiate between the expectations of government contractors and the faith communities that they are connected with. Issues addressed in this session could include: 1)whether or not faith based/faith related non-profits lose track of their religious based mission when they work with government; 2) the relationship between faith based/faith related organizations and local congregations when the non-profits have government contracts; 3) the experience of churches with government contracts; 4) comparisons between the program content and administrative structures of faith based initiatives and secular non-profits.

Papers in this proposed double session explore a range of issues related to this topic. Papers from the United States provide case studies of church congregations implementing government charitable choice legislation; discussion of faith based coalitions with government contracts; the relationship between large, faith related social service agencies, government and the grass roots; and the experience of local government in developing faith based initiatives. International papers provide an important contrast to the U.S. based research, showing ways that social service through churches operate in countries with a history of state churches or active religious involvement in politics.

The first half of the double session focuses on key issues regarding faith based initiatives from a global, systemic and historical perspective. As a whole, these papers look at the four dimensions of 1) national church/state relationships, 2) local government/faith based provider relationships, 3) direct interactions between churches and government, and 4) faith related/faith based incorporated non-profits relationship with local congregations and faith communities.

The second half of the double session provides case examples of current faith based initiatives. These papers look at faith based service provision on a variety of different social welfare needs as well as comparing coalition and individual provider activities.

PAPERS:

Please note, this session is proposed as a double session with discussion time between each set of papers. There is currently room in the session for one additional paper.

SECTION ONE

1) Churches as Actors in Social Welfare - Trends in a Deregulated Sweden(Professor Eva Jeppsson Grassman, Stockholm University, Department of Social Work): Changes in the Swedish society - value changes, separation between the State and the Church of Sweden, growing emphasis on the role of civil society and deregulation of the Welfare State - urges churches to revise and partly redefine their role. One way of making itself useful is to focus more on social work and social service provision. The paper explores the local "imprints" of the described changes through a case study of all religious congregations in a middle-size town in Sweden.

2) Serving Many Masters: Lessons on Keeping the Faith in Faith Based Initiatives from the Refugee Resettlement Program (Jo Anne Schneider, Indiana University of Pennsylvania): The paper re-examines research on refugee resettlement in Philadelphia to address: 1) influence of religious structure and philosophy on program development and implementation, 2) dynamics between faith related social service agencies and grass roots congregations/communities, 3) dynamics between refugees from different religious and class backgrounds and the agencies that resettled them. In contrast to scholars that predict that government contracts alter organization mission, this research suggests that faith based institutions maintain unique, religious based models when implementing government programs.

3) Charitable Choice at the Made Local: The Case of Cookman United
Methodist (Jill W. Sinha and Ram A. Cnaan, University of Pennsylvania): A Pennsylvania-monitored program called "Community Solutions," used monies made possible through the Charitable Choice legislation. Cookman United Methodist Church began receiving funding from this program in 1998 to run a welfare to work program for some of the city's hardest-to-place TANFrecipients. The program was and still is a success, though with significant changes in clientele served and type of service provided. Some of the key issues that arose from the original partnership included lack of specificity about how the money could be spent on what kinds of materials (non-religious only), the length of the turn-around time from provision of service to payment for the service, and the amount and type of record-keeping required by the monitoring process that detracted from staff time. These and other issues will be discussed regarding this congregation's experience partnering with the government through Charitable Choice.

4) Please Save This Two Left Footed Dance For Us: A Public Department of Social Services Asks The Local Faith Community To The Prom. Bob Wineburg, UNC GREENSBORO:
This paper will report the findings of a comprehensive needs assessment conducted on behalf of a local department of social services desiring to use the resources of the faith community in the most effective manner. The paper will discuss both the findings of the assessment, which centers on the faith community's willingness to work with the public agency, and the pre-assessment expectations of the public agency's leadership.

DISCUSSANT:Thomas Jeavons

SECTION TWO:
1) The Check is in the Mail: Administrative and Organizational Sources of Mission Distortion (Ed Queen)
While many have discussed the risk of mission distortion in the contracting of faith-based institutions with

government agencies, most have focussed on alterations of mission in order to obtain or maintain government funding. Few have examined how government's administrative and organizational structures can lead to mission distortion simply by the nature of rules and requirements that do not touch at all on religious or legal elements.Based on the findings of a three state study on the implementation of Charitable Choice, this paper examines the role of governmental organizational and administrative demands in causing mission distortion or displacement

2) Mobilizing the Armies of Compassion: How AIDS Ministries Provide Services and Interact with Each Other, Nonprofit Organizations, and Public Organizations in Colorado (Michael McLeod and Ms. Angela Graham): Based on interviews, participant-observation, and an analysis of pertinent organization documents, this paper presents the findings of a study of AIDS ministries in Colorado. The research was designed to obtain empirical data about (1) the extent of coupling of AIDS ministries to resources, authorities, and cultures that represent relevant faiths; (2) how religious coupling affects the behavior of AIDS ministries; and (3) the purpose, scale, and effect of the AIDS ministries' interactions with each other, nonprofit organizations, and public organizations. This paper contributes to the ongoing consideration of whether government should encourage faith-related organizations to be partners in public service.

3) The Limits of the Expression of Faith in Faith-based Organizations (Wayne Antoine and Stephanie Boddie) While defining "faith" remains a thorny issue, this paper delineates how faith is practiced. The following questions are explored: What are the imposed limits of the expression of faith? Is it the boundaries of government policies and practices? the religious identity of the faith-based organization? or the inclusive nature of the collaboration? A case study of the African American Interdenominational Ministries' publicly funded community collaborative for adjudicated youth will provide the context to begin to examine this issue.

4) Faith and Capital: Church-based credit unions and global capital markets (Maryellen Lewis) The "new" partnerships between churches and government have many precedents, one of which is the nonprofit, government-regulated Church-Based Credit Union. My research on Community Development Credit Unions (CDCUs) -- CUs whose memberships include at least 50% low-income and/or CUs that serve largely low-income populations or geographic areas ("fields of membership") -- included several faith-based CDCUs, and I serve on a national advisory board of faith-based CDCUs which continues to advise my research. My paper will focus on the special circumstances of faith-based CDCUs, in contrast to secular CDCUs, and the special opportunities and challenges they represent. Using my own data, as well as the limited literature in this field, I will discuss issues of governance, accountability, and capacity in these faith-based financial institutions, and their ultimate goal of access to capital and financial services for excluded or underserved populations.

Discussant: To be added later

Paper Number: PN022152.1

Paper Title: Churches as Actors in Social Welfare - Trends in a Deregulated Sweden

Author(s):

Professor Eva Jeppsson Grassman, Stockholm University, Stockholm, Sweden

Summary of Research

Changes in the Swedish society -value changes, separation between the State and the Church of Sweden, growing emphasis on the role of civil society and deregulation of the Welfare State - urges churches to revise and partly redefine their role. One way of making itself useful is to focus more on social work and social service provision. The paper explores the local "imprints" of the described changes through a case study of all religious congregations in a middle-size town in Sweden.

Description

January the 1st, of the year 2000 was a historic date in Sweden. After decades of debate, the national church – the Church of Sweden – was legally/formally separated from the State. A 500-year institutional arrangement had come to an end. The Church of Sweden with all its parishes was now to be a voluntary organization, even if of gigantic size – and to be one church along with all the other churches existing in Sweden. This change took place at a time when Swedish society is undergoing important transitions, like many other European countries. The ongoing secularization, along with general value changes seen in Western societies, creates a new type of relationship between the Church and the individual (Bäckström, 2000, Pettersson, 1992). This, along with the deregulation of the State-Church relationship, urges the Church to revise and partly redefine its role. The need to make itself useful is one distinct pattern in Church texts in Sweden at this time (Jeppsson Grassman, 2001). One way of achieving this is to focus more on social work and social service provision.

A second trend in the Swedish society, with implications for the Church and other congregations, touches on the growing emphasis on the role of civil society in social welfare as well as for belonging and identity. This, in turn, is closely connected with ongoing deregulation of the Swedish welfare state, with new expectations of pluralism and new actors in the welfare system. No other West-European country has deregulated welfare at a faster rate than Sweden in the past ten years. Private companies have gained a market. Expectations of voluntary organisations as providers of social service have also increased (Jeppsson Grassman & Svedberg, 1995, 2002; Lundström & Wijkström, 1997).

These different changes leave the Church of Sweden and other churches with new, partly contradictory, expectations directed towards them, from society but also from within the organizations themselves. What needs that modern men have should the churches try to meet? Should and could churches be involved as an actor in civil society – a free voice and an arena for belong and networking? How does this go along with the increased demands on voluntary organizations, including churches, to be “providers” of social service and welfare?

The proposed paper explores the consequences of the described change trends at a local level, through a study of local congregations conducted in 1999-2000. The aim of my study was basically to find out if and how these trends of change have left any “imprints” on congregational work in the area of social work and in the area of congregational work with the local community. The main source of material was a case study of the Church of Sweden, all other churches and other religious congregations in a middle size town in Sweden. Representatives from 42 congregations were interviewed.

Some of the questions addressed in the study were:
What sort of social activities and welfare initiatives are worked on at a local level in the congregations? Changes since the mid-1990s? To what extent do local congregations co-operate with other actors in social services and social welfare? Do congregations work as service providers, on contracts with the municipality? Changes since the mid-1990s? What is the role of volunteers in the congregations? Changes since the mid-1990s? What are some typical new social projects in local congregations? The

proposed paper will discuss some of these issues.

Some of the results that the proposed paper will discuss are the following:
The social work of the congregations was characterised to varying degrees by general community creating initiatives, on the one hand, and more defined programmes or initiatives for particular groups, on the other. A spectrum of different social activities is offered and the parishes of the Church of Sweden and other congregations reach a surprisingly large number of people with their initiatives in the local area every week. One of the central points of "the social" within the Church of Sweden lies clearly within areas connected with professional competence – counselling, therapeutically oriented groups and support in crisis. Study circles, hobby-based activities and other similar groups are more common amongst the other congregations." Amongst other churches and congregations, size of the congregation, traditions and beliefs vary, something, which has an affect on the varying characteristics of their activities. "The social" provides in many cases a representation of community life, carried out by the members, where boundaries are flexible between practice of religion, togetherness, leisure activities, the creation of networks and social support. Activities for support and belonging – which are of central importance to social activities – therefore partially have other characteristics than those of the Church of Sweden and lie closer to the social dimension which is characteristic of the Swedish tradition of voluntary associations in general. The social activities of the congregations seem to encompass extremes. On the one hand "introspective" social activities, which have to do with support, belonging and a reciprocal network amongst members. On the other hand, a well developed, externally focused " production of welfare services" such as the one offered by the Salvation Army, for example. It offers well-developed programmes, in some cases in the form of institutions and professionals within the social area do the work. Initiatives are often focused on quite vulnerable groups.
The results show that the religiously inspired social work and activities in the municipality that was studied have undergone clear changes during the 1990's, both quantitatively and qualitatively. The respondents from the parishes of the Church of Sweden described the most significant changes. Their social work had grown in terms of what it encompasses and had changed character. The parishes of the Church of Sweden had, to a larger extent than other congregations, begun new projects and saw a clearer increase in co-operation with other local actors, including local authorities, than can be said for other congregations. The changes had, however, a clear connection to those professional resources available. Regardless of the type of congregation, it was in congregations with many employees that changes had taken place and new projects had been started or planned. It was primarily the larger congregations that had promoted their positions as welfare actors. Access to volunteers has not influenced this development in such an obvious manner. There was a connection between change and increased professionalisation, rather than a move towards increased involvement of volunteers and the creation of a community-strengthening network in order to meet welfare needs.
A number of congregations also noted that they were meeting greater social and economic problems and needs than before, both from vulnerable groups and from "ordinary people", as a consequence of cutbacks in the provisions by the Welfare State. In order to meet these pressing needs new roles had to be shouldered. Furthermore, spiritual needs had increased during the 1990's. A theme having to do with complementarity, and the meaning of this, was distinct in the data : Should the Church offer services where the public sector is not sufficient, or should it offer "something other" than the welfare services offered by the public sector? Is it possible to keep "congregational authenticity" if working in collaboration with local authorities? This was one area of potential conflict.
It seems reasonable to interpret and understand the development described as an expression of the fact that the Church's role as a welfare actor is undergoing change. Surrounding society "counts on" the Church, something which appears in line with the general change in expectations as far as responsibility for welfare is concerned. This does not however mean that the congregations have been turned into just "provider organisations" during the 1990's, even if one can glimpse an ambition, particularly within certain parishes in the Church of Sweden to increasingly adopt this focus. A limited number of congregations worked on contracts with the local authorities. The proposed paper would be a contribution to the discussion of the role of churches and congregations in the local community as social service providers. On another level, it would contribute to research concerning the role of the voluntary sector in the Swedish welfare state in process of transition.

Paper Number: PN022152.2

Paper Title: Serving Many Masters: Lessons on Keeping the Faith in Faith Based Initiatives from the Refugee Resettlement Program

Author(s):

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Summary of Research

The paper re-examines research on refugee resettlement in Philadelphia to address: 1) influence of religious structure and philosophy on program development and implementation, 2) dynamics between faith related social service agencies and grass roots congregations/communities, 3) dynamics between refugees from different religious and class backgrounds and the agencies that resettled them. In contrast to scholars that predict that government contracts alter organization mission, this research suggests that faith based institutions maintain unique, religious based models when implementing government programs.

Description

Proponents of Charitable Choice and other faith based government initiatives often presume that religious involvement will reinvigorate social service in several ways. Faith based initiatives supposedly provide "better" service because they can draw on the religious community for volunteers, funding and in-kind support. Advocates of faith based service also presume that the religious missions of faith based organizations will provide more holistic and caring service than government bureaucracy. Opponents of charitable choice, on the other hand, fear that church congregations and faith based non-profits will lose their ties with their religious traditions as they implement government policy. Others raise concerns that religious institutions will not be able to provide equitable service to people outside of their faith tradition.

While many see Charitable Choice as a new initiative, scholars of social service recognize that faith based institutions have been a major provider of social welfare services in the United States since the beginning of this country (Cnaan 1999, Hall 1990). Agencies like Catholic Social Services, HIAS, Jewish Family Services, and Lutheran Children and Family services hold the bulk of government contracts in many localities today. Long established government programs for refugee resettlement were specifically designed as a partnership between local, community based providers and the federal government (Schneider 1988). Most refugee resettlement providers are faith related non-profits (Smith and Sosin 2001) that rely on local congregations for sponsors and other supports to carry out their program. These already existing programs provide models for newer faith based initiatives.

The proposed paper explores theoretical and practical questions related to government faith based initiatives through re-examination of research on the refugee resettlement program in Philadelphia conducted between 1981 and 1987. This ethnographic study explored the role of government contracted agencies and local communities in the resettlement of recently arrived Polish and Soviet Jewish refugees. Research combined four years of participant observation in organizations; interviews with staff and agency administrators working with refugees; analysis of agency contracts and refugee resettlement program materials; reviews of case records for families participating in the study; life history interviews with 40 Soviet Jewish and Polish refugee families and their sponsors; periodic interviews with a small number of newly arrived refugee families; and participant observation in the congregations and ethnic communities where refugees were resettled. This paper focuses primarily on research conducted in the social service agencies and conversations with sponsoring congregations and refugees about dynamics with the social service agencies responsible for resettlement.

Four of the five providers were local affiliates of international religious based NGOs. The agency contracted to provide employment services to refugees (Jewish Employment and Vocational Service) was also a faith related institution. Each of these agencies developed a unique model of refugee resettlement based in its religious philosophy and institutional structure. All of these agencies relied on local congregations and individual volunteers from their faith community as sponsors and social capital resources for refugee families they resettled. While Catholic Social Services and HIAS/Jewish Family

Services often worked with refugees from the same ethnic and religious background, other faith based providers served people very different from themselves. Since all of these institutions also served refugees from Southeast Asia and Ethiopia, each also provides examples of religious based institutions serving people different from their faith communities.

The proposed paper compares refugee resettlement programs developed by Catholic Social Services, HIAS/Jewish Family Service, Lutheran Children and Family Services and the congregational based Presbyterian program called PRIME. In contrast to scholars that predict that government contracts alter the missions of local organizations (Smith and Lipsky 1993) or that institutions succumb to the "iron cage of oligarchy" (DiMaggio and Powell 1988), this research suggests that faith based institutions maintain unique, religious based programmatic models when implementing government programs. Each agency struggled with the tension between government performance mandates and their own philosophy, but each negotiated a compromise that maintained their own mission based structure and religious values. Likewise, each agency experienced both successes and problems as they worked with the local congregations, employers, and community institutions that offered sponsorship, employment and other social and religious supports to refugees. Agencies experienced both conflict and collaborative resettlement experiences with refugees from various class, national, and religious backgrounds. Each agency tailored its resettlement program differently for refugees from Eastern Europe, Southeast Asia and Africa.

The proposed paper uses case studies of these four programs to address three issues: 1) the ways that religious structure and philosophy influences development and implementation of this government program, 2) dynamics between faith related social service agencies and grass roots congregations/communities in carrying out the refugee resettlement program, 3) dynamics between refugees from different religious and class backgrounds and the agencies that resettled them. The last topic will compare interactions between refugees from similar class/religious backgrounds to agency staff/church sponsors and those from different backgrounds.

Paper Number: PN022152.3

Paper Title: Charitable Choice Made Local: The Case of Cookman United Methodist

Author(s):

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Jill W Sinha, University of Pennsylvania, Drexel Hill, PA, USA

Summary of Research

Cookman United Methodist was selected to recieve monies after the 1996 Charitable Choice legislation passed. Working in conjunction with the Pennsylvania Department of Welfare, and a state monitor, Cookman initiated a welfare to work program. This paper discusses findings from an in-dept case study on the limitations and effectiveness of government/faith-based partnerships in this context.

Description

This paper explores the experience of Cookman United Methodist as it recieved monies through Charitable Choice to implement and run a welfare to work program. Because this faith-based program was the first in Pennsylvania to recieve funding through Charitable Choice, issues that had been previously unknown rose to the surface and were dealt with during the first year of operation.

The paper details the program's experiences in partnering with state government over approximately one year. Changes in the program occured such as: number of clients served, enforcing client's termination in the program, changes in amount and type of paperwork required by state monitoring, changes in physical facilities that were required, payment type and timing, changes in how the funding was to be allocated. Certain protocol were developed to satisfy both the state's requirements and the objectives of the faith-based program.

At the completion of the year, participants--students in the program, program staff, and the state monitor of the program, would call the partnership and the program a success, but not without greater understanding of the special needs and concerns of a state/faith-based contract such as this one.

The paper discusses these findings and gives an update about the programs at this congregation today, and their continued invovlement in state and city funding.

Paper Number: PN022152.4

Paper Title: Please Save This Two Left Footed Dance For Us: A Public Department of Social Services Asks The Local Faith Community To The Prom.

Author(s):

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Summary of Research

This paper will report the findings of a comprehensive needs assessment conducted on behalf of a local department of social services desiring to use the resources of the faith community in the most effective manner. The paper will discuss both the findings of the assessment, which centers on the faith community's willingness to work with the public agency, and the pre-assessment expectations of the public agency's leadership.

Description

Since the Reagan years, the public has increasingly had terms like: More local responsibility, new federalism, devolution, a thousand points of light, ending welfare as we know it, and faith-based initiatives, sutured into seams of the public discourse. The academic community has produced volumes on the “big picture,” but only recently, is the grounded scholarship demonstrating that there is much to be learned by examining how policies actually work in local systems of care.

This paper will explore, in detail, how a local Department of Social Services in Greensboro, North Carolina, decided that without help from the faith community, it could no longer deliver services required by law, and ensure it met its public-mission of protecting families and children. This realization came about because it had to face both reduced budgets, and increased welfare rolls fueled by a recession. Plus, there is now the new responsibility of helping the children of women who were former recipients, but can longer receive public assistance because their temporary assistance ran out. Yet, their kids need help. Inside the Department of Social Services, in a word, is messy.

This paper will describe how local leaders in Department of Social Service conceived of solving those problems by partnering with the faith community in Greensboro. The Department of Social Services received a small grant from a local foundation to conduct an assessment of how it could best use the resources of the faith community. This author has had the good fortune of conducting that assessment. The paper will also discuss the findings of a comprehensive community analysis of the faith community’s perceptions of the Department of Social Services and put forth what it feels Social Services ought to do to make a voluntary partnership between two very different systems work effectively, energize them, and help people in need survive. Since the 3,000 plus counties in the United States face somewhat similar concerns, it is hoped that some of the findings here may be useful to other systems thinking of taking similar steps.

Paper Number: PA021407

Paper Title: The Role of Governments in Ensuring Voluntary Sector Accountability

Author(s):

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Summary of Research

This paper will examine the issue of accountability in the voluntary sector as a public policy question by comparing two recent federal government initiatives: the Bush government Faith-Based and Community Initiative and the Canadian Government-Voluntary Sector Initiative. The paper will answer three questions. First, what measures of accountability are envisioned in the two models as the government-sector relationship is redefined? Second, how do these initiatives fit with the principles of accountability and democracy embedded in the congressional and parliamentary systems of government? Third, what are the common and different lessons from the two cases?

Description

1. THE PROBLEM/ISSUE TO BE ADDRESSED

In the aftermath of the September 11th, 2001 tragedy, voluntary organisations came under critical scrutiny for their actions. While the heroism of many volunteers and voluntary organisations was widely acknowledged, the performance of some organisations and individuals in attempting to meet the need of victims was criticised publically. The media questioned the disbursal of funds by the Red Cross. In Canada, individuals who organised workers and machinery to help with the clean-up and were turned back at the border or in New York, were subjected to inquiries about their intentions and actions. While the events of 9/11 heightened the suspicion and accusations around these actions, the underlying theme is not new. Accountability of voluntary organisations has been the cause of debate over the years and particularly since the 1980s. Both the American and Canadian governments have responded to this debate and have engaged in redefining their relationships with the voluntary sector with increased accountability and effectiveness as key objectives.

This paper will examine the issue of accountability in the voluntary sector as a public policy question. Thus, the analysis will not be conducted at the organisational level of operation, but at the sectoral-government level instead. Specifically, the paper will examine government-sectoral interaction by comparing two recent federal government initiatives: the Bush government Faith-Based and Community Initiative and the current Canadian government-voluntary sector initiative. Both initiatives are intended to change "how government operates," and to empower voluntary organisations as a means of building community. Both involve multiple departments of government and their relationships with voluntary organisations. Both are conceived with the intention of improving services to citizens. However, one is built along a hierarchical model of leadership while the other attempts to forge a partnership at the macro level. One identifies a particular constituency to build the relationship with the sector while the other is attempting to engage the sector as a whole. One is operating within a presidential congressional model of government with separate spheres of authority and power while the other is being crafted within a prime ministerial-parliamentary system with fused authority.

Therefore, the paper will attempt to answer three sets of questions. First, what measures of accountability are envisioned in the two models as the government-sector relationship is redefined? This will also address the broader question of the role of government in ensuring accountability among agencies and its obligation to the broader society. How do these measures impact upon the organisations? Second, how do these initiatives fit with the principles of accountability and democracy embedded in the congressional and parliamentary systems of government? This is a basic issue in the governance literature-as responsibility is devolved, how is accountability retained and measured? Third, what do the common and different lessons from the two cases reveal? Are they mutually instructive? If so, what are the key lessons?

2. RELATION TO KNOWLEDGE IN THE FIELD

The argument in the paper will draw on two major streams of literature. The literature public policy, accountability and the voluntary sector is quite robust and will provide the foundations for the theoretical arguments in the paper as well as the criteria for assessing the two initiatives. The literature on governance and political systems will provide the basis for comparing the operation of the initiatives within the two political systems. In particular, the comparative work of Donald Savoie, Walter Powell et al. and of Elizabeth Boris and Steuerle. will be helpful. A partial list of relevant sources is appended.

3. APPROACH

The paper will use a qualitative and comparative approach. The author will begin with a description of each initiative and the basic principles of government in the two systems based upon a review of public documents and the available literature. The next phase of research will involve an analysis of the literature on governance and accountability in the US and Canada in relation to the two initiatives. A few (5-6) key informants will be contacted to inform the analysis and provide insight into the operations of the two initiatives. An important element of the analysis will involve my own observations as documentalist and occasional advisor to the Joint Coordinating Committee of the Voluntary Sector Initiative. The JCC is the central organizing committee of the entire initiative, comprising representatives drawn equally from the voluntary sector and federal government. The Joint Tables, which investigate specific issues pertaining to the initiative, report to the JCC. Thus the paper will incorporate experiential knowledge with academic analysis in an endeavour to better understand the effects of this process on government and the evolving nature of democracy in the Canadian political system and its implications for other jurisdictions like the US contemplating similar changes in the relationship between the two sectors.

4. CONTRIBUTION

While the question of accountability is frequently examined at the organisational level, the study of the effectiveness of blending horizontal forms of accountability with traditional political lines of accountability in less well attended, particularly from a comparative perspective. Thus, this study should contribute to our understanding of government-voluntary sector relations, accountability within the voluntary sector and within government, and the changing nature of democratic governance.

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Paper Number: PA021426

Paper Title: A Cooperative Approach to Accountability

Author(s):

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Summary of Research

Can government's need for nonprofit accountability be accomplished without diminishing nonprofit organisations' ability to pursue their goals of responsiveness and flexibility? The conventional view argues that governments' accountability objectives conflict with nonprofits' objectives, implying there must be some tradeoff. We adopt an alternative view in which the two parties' objectives are jointly pursued through a cooperative approach. We present evidence that such an approach is not only possible but efficient through an analysis of a provincial funding program in Manitoba, Canada. The program rests on a long-term building process of a sustained cooperative mechanism for defining goals and communicating constraints.

Description

The Issue

As a major funder of the nonprofit sector, governments face an obligation to have effective accountability standards. In recent times at least, this accountability objective has become as prominent and emphatic as the goals of solving various social problems and providing for select target populations. Yet the mechanisms that governments commonly use to meet their accountability objectives have tended to encroach upon nonprofit organisations' ability to meet their own objectives of responsiveness and flexibility. These mechanisms typically employ extensive reporting requirements as well as very narrowly defined and inflexible restrictions placed on the use of funds. As such, these mechanisms can be crippling for nonprofit organisations, and can divert them from pursuing their own objectives. In the end, service delivery is compromised, yielding a sub-optimal result.

The issue that arises in this context is that of finding ways for governments to satisfy their accountability objectives without compromising the mission of organisations. This paper will address the characteristics of a relationship that allows the goals of both government and nonprofits to be achieved. The critical element is a long-term trust-based cooperative approach to designing programs and funding parameters with the accountability objective built in so that both parties pursue it as part of the overarching framework of service delivery.

Relation to the State of Knowledge

Lipsky and Smith (1990) assert that there is an inherent and ongoing tension in government's relationship with the non-profit sector arising from competition between government's need to ensure equity and accountability in its spending of tax dollars1 and the non-profit sector's emphasis on responsiveness and flexibility in meeting clients' needs. Lipsky and Smith discuss the process by which government will apply increasing pressure on non-profit organizations that play an expanding role in the provision of government services, as a result of pressure to be accountable to taxpayers. They argue that as government's relationship with non-profit organizations evolves, its ability to impose its priorities on organizations increases, with the major tools for this increase being reporting requirements and increasingly specific regulation of organizations. In the early stages of the relationship, organizations may be able to shift their apparent emphasis in order to appear to meet government objectives without truly changing their practices or their mission. As government improves its reporting requirements, this deception becomes more difficult and greater tension can emerge in the relationship. Organizations will resist pressure by using voice and publicly advocating for changes in policy. Over time, organizations will yield to government pressure, and the mature relationship is characterized by a high degree of government control and dominance of government objectives.

Young (2000) posits that government's relationship with the non-profit sector varies with economic conditions. During periods of change, the non-profit sector undertakes new initiatives in a role that is supplementary to government, and works to attract government funding for these initiatives using an adversarial approach. Government reacts by attempting to mitigate the non-profit sector's adversarial role. As the sector's new initiatives solidify, government may try to take over the provision of these new services, but experiences problems expanding its services. Non-profit organizations then advocate for improvements and engage in a complementary manner with government to improve service delivery. Further economic change then drives retrenchment in the government sector, which forces the non-profit sector to repeat its supplementary and adversarial roles, continuing the cycle.

Our Approach

By analyzing a provincial funding program in Manitoba, Canada, we will present evidence that the mature relationship between government and the nonprofit sector need not be as tension-based as Lipsky and Smith (1990) and Young (2000) describe. Our analysis will demonstrate that a mature relationship characterized by trust and cooperation between government and the nonprofit sector can provide for highly effective and efficient service delivery programs in which government's accountability objective is not only pursued but also achieved. We will then describe the critical characteristics needed to develop similarly successful programs.

The findings that we will present will be drawn from data that we have already collected. In an earlier research project, we discovered the existence and effectiveness of the Family Violence Prevention Program (FVPP) in Manitoba's Department of Family Services and Housing. Organizations in our earlier research which were funded through the FVPP described their relationship with government as one that was supportive, amicable and helped organizations concentrate on working to fulfill their mission rather than wasting considerable time seeking, and reporting on the use of, funds. Because these organizations described their relationship with government so differently from the other organizations in our earlier work, we conducted additional interviews to collect more data about the FVPP. Our primary interview research subjects were employees of the FVPP. These interviews were supplemented with interviews with other government officials, directors of about half of the organizations that fall under the FVPP mandate, and individuals working in family violence prevention from other Canadian provinces. Our goal was to learn about the Program's philosophy, history, and current practices in order to identify the essential characteristics that make it work so effectively from organizations' and government's standpoint.

Contribution of this Paper

The FVPP has evolved, in some measure, according to Young's prediction. However, the relationship embodied in the FVPP seems to have reached a stable level, rather than repeating the cycle described by Young (2000). The provision of services continues to evolve without the need for confrontation that characterizes the adversarial role of the non-profit sector. Furthermore, the FVPP relationship does not display any of the tension that Lipsky and Smith (1990) describe. The mature relationships displayed within the FVPP permit both the Program and organizations to satisfy multiple objectives of flexibility, responsiveness and accountability. The reason multiple objectives can be met with little strain is that a relationship of mutual understanding and trust has developed between the organizations and the funders. When this understanding and trust appears, government does, in fact, meet its accountability needs, and reporting requirements are quite extensive, but they do not seem onerous to organizations. In these cases, the reporting requirements become communication tools that are used to constantly evaluate and plan services in a cooperative manner. When reporting requirements become a cooperative tool within a trust-based relationship, discussions arising from reports allow, and in many cases encourage, organizations and funders to design programs to be flexible and responsive to clients' needs. Alternatively, an extremely unilateral government decision-making process can by-pass the complexity required to seek sectoral input, but may also prevent government from achieving policy goals that rely on an effective non-profit sector.

We believe that the success of the FVPP can be duplicated in other service areas and jurisdictions if certain key features are incorporated. These include: the existence and maintenance of political will at the relevant level of government; long-term retention of program staff for continuity; a program director who strongly adheres to the philosophy that the community has the expertise in the area of service, and that the consequent role of the program staff is to help coordinate that expertise into the establishment of clear descriptions of standards of service and of the elements of service to be provided through contract; and, while recognizing that unilateral decisions are occasionally necessary, as much as possible, a consultative decision making process. Fundamentally, program staff must adopt and implement a perspective that they are employed to meet a mission, not only to supervise a funding program. They must be prepared to educate all players, from the political level to the community level, about the mission and about how each player works to meet the mission within its own parameters.

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Paper Number: PA021558

Paper Title: Welfare reform, accountability and the public trust.

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Summary of Research

This paper reports findings assessing existing outcome measurement strategies and mechanisms under the new welfare reform (PRWORA) for New Mexico. Legislation directives, current policies and procedures, and a recent MAXIMUS report provide the bases for follow-up interviews with nonprofit program directors, case workers, advocates, research analysts, auditors and clients. While pro forma outcome measures and some kinds of accountability are currently in place and highly visible they are superficial, distorting and undermine accurate measures intrinsic to the spirit and intention of the law and legislation as enacted.

Description

Welfare reform, embodied in the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA), represents a major shift in policy, changed the relationships among national, state, and local governments and among public and private organizations at each of these levels. State flexibility was deliberately expanded under welfare reform. While the size of the cash grant was left to state discretion under AFDC, states may now choose whom they will assist, what requirements they will impose upon those who receive aid, and what non-cash supports those families will receive.

With the expansion of state flexibility to set welfare policy has come greater diversity in state approaches to welfare. One of the most encouraging aspects of the current welfare system is that states and localities have begun to move from relatively narrow work-first policies to more complex ways of identifying and overcoming barriers to work, providing financial and in-kind support for work, and promoting job retention and advancement.

At least as important as these state policies are local developments. In many localities, public agencies have developed new relationships with each other and with the private for-profit and nonprofit sectors. These relationships enable welfare recipients and former recipients to obtain a constellation of services and supports to assist them in their economic progress. As with evolving state policy, these relationships take time to build, arise only when local leaders have resources, commitment, and focus. Accountability and outcome-based assessments are essential components of these new arrangements and yet often not effectively in place.

Most TANF funds are being spent in three areas: cash support for the neediest families, transfers to existing or new job search and work support programs that often serve a broader low-income population, and new services to help those who face barriers to work. The need for intensive services designed to overcome substantial barriers has been difficult to determine, as these programs are relatively new and their effectiveness and long-term costs and benefits are not known. A MAXIMUS study completed last year identified domestic violence, substance abuse, mental illness and learning disabilities as the four major barriers to employment in New Mexico.

This paper reports findings assessing existing outcome measurement strategies and mechanisms for several kinds of accountability between state and regional welfare agencies, their not-for profit contractors, and these contractors' subcontractors under the new law for New Mexico. The paper incorporates proposed policy revisions based on the disparities existing between the system as it operates and the enacted law. While pro forma outcome measures and some kinds of accountability are currently in place and highly visible they are superficial, distorting and undermine accurate measures intrinsic to the spirit and intention of the law and legislation enacted.

Data sources include current legislation directives, current policies and procedures, and the MAXIMUS report. These provide the bases for follow-up interviews with nonprofit program directors, case workers, advocates, research analysts, auditors and clients. The cumulative body of data provides the basis for implementation reform.

The primary contributions of this research and report are those of nonprofit organizational accountability and inter-sector relations to the field of nonprofit studies; are of welfare reform quality control to the field of social work; and are of effective public policy implementation to the field of public policy studies. This research aims to develop a system of mutual accountability wherein stakeholder groups are visible to each other and to the public under whose mandate they operate and whom they serve.

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Paper Number: PA021637

Paper Title: Canada's Voluntary Sector Initiative Two Years On: A Reconsideration of Journey So Far

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Summary of Research

Canada's voluntary sector contributes significantly to the country's economy. The sector has annual revenues of $90 billion and assets of $109 billion.
Government and the sector have opted for a new way to better achieve their goals of enhancing the quality of life of Canadians. This 'new way' was epitomised in the June 2000 launch of the Voluntary Sector Initiative, a joint initiative to forge a more strategic relationship to better serve Canadians.
More than two years since its birth we examine whether the VSI living up to its promise as a new model of government-voluntary sector relations.

Description

Introduction and Statement of Research Problem:

Canada's voluntary sector has been described as vibrant, diverse and resilient. It contributes significantly to the country's economy. Charitable organizations alone, for example, employ some 1.3 million people (or 9 per cent of working Canadians) and the charitable sector has annual revenues of $90 billion and assets of $109 billion. Through its ability to galvanize Canadians on important issues, and because of its ability to act as an early warning system on a broad range of issues, the sector not only enlightens and enriches policy debates, but also rallies people, communities and others in ways that boost economic development.

However, notwithstanding the recognition of the importance and contributions of the sector to the nation's economy, there is an acknowledged dearth of comprehensive information on the sector in Canada. For example, while some research has been done on the sector, it has generally been on registered charities which are only a sub-set of the over 180,000 voluntary organizations in the country and the information they provide is of limited use for understanding the sector as a whole. This lacuna, in turn, has seriously undermined efforts to strengthen the sector and been an impediment to building support and credibility for sustained recognition and support by the government.

In part to address this problem, and in keeping with the government's commitment to build on its 1997 election promise to strengthen its relationship with the voluntary sector, the government and the sector have opted for a new way to better achieve their common goal of enhancing the quality of life of Canadians. This 'new way' was epitomised in the June 2000 launch of the Voluntary Sector Initiative (VSI) - a joint initiative between the government and the sector to forge a more effective, strategic relationship to better serve Canadians.

At launch, the VSI received remarkable accolades not only as a novel government-voluntary relationship, but for its potential to mitigate the sector's numerous problems. To the Prime Minister of Canada, it "signifies the Government of Canada's recognition of the invaluable contributions of the sector to the Canadian way of life….", while to Lucienne Robillard, President of the Treasury Board of Canada, it "represents an important step towards realizing our long term vision to fully engage the voluntary sector in the day-to-day business of government". This promise was also not lost to members of the sector. Reinforcing that the VSI means a change in the way the public and the sector have traditionally dealt with the other, Mr. Johnston describes it as "a new beginning in the relationship between government and the voluntary sector".

With more than two years since its birth, several questions have arisen. Is the VSI living up to its promise as a new model of government-voluntary sector relations? What are the challenges or opportunities being faced/offered in the process? Is it falling, or has fallen, victim to a 'revolution of rising expectations' by promising more than it can deliver? Has process overtaken substance in its journey so far, and has cynicism replaced the optimism with which it was greeted at launch? What substantive learnings are there to draw from this experience to chart out a realistic 'prognosis for action' that would take the Initiative further and enhance the realization of its objectives and deliverables? Finally, are they any public policy lessons can be drawn from its experience for modeling government-sector collaboration?

Methodology:

Being a relatively new area of investigation, there has been very little, if any, substantive work on the VSI, particularly, in relation to the research questions posed in this study. The few commentaries as exist have tended to focus on specific aspects of the initiative, for example, the lack of solid funding arrangements in the initiative and the implications of this for its success, while others have simply bemoaned the 'victim mentality' of the sector and criticized the initiative's implied subservience of the sector to the government.

Thus, on account of this dearth of literature on the VSI occasioned by its relatively short gestation period, our research methodology and data sources will centre largely on primary sources, and to a lesser extent on secondary material. While our objective is the critically examine the VSI from a holistic perspective, particular attention will be paid to the work of two of the Joint Tables - the Accord and Capacity Joint Tables. To situate the analysis, this study will trace the evolution of the VSI from the election commitment of 1997 through to the 1999 launch. The secondary sources will, therefore, be used in reconstructing the history and processes leading up to the VSI launch, its declarations and stated objectives which will set the stage for its critical examination.

Since no original research of this kind has been conducted on the VSI, the primary source of data is particularly very important for this work. It will consist of both structured and unstructured, including face-to-face and telephone interviews with government, voluntary sector members of the Joint Tables and the original members of the Voluntary Sector Roundtable whose work acted as the catalyst for the VSI. Also, field work will be carried out collect and analyse data on the specific projects that have been undertaken by the two Joint Tables (Accord and Capacity Joint Tables) under consideration. Thus, while the secondary sources will produce base data on the intent, objectives and declarations of the Initiative, the primary sources will generate data on the actual performance of the it's performance over the period under review. A juxtaposition of these two would enable this study to conduct a critical assessment of the Initiative and answer the research questions posed therein.

Currently, there is no documentation on the progress, learnings and future trajectory for the VSI. While this study will not, and cannot possibly answer all potential questions that can be asked of the VSI, it proposes to set the stage for further, perhaps more robust studies on the Initiative. Written from the perspective of staff who support the Initiative, it will provide a unique insight into the complexities of such a multi-faceted and ambitious project and attempt to chart the learnings in the VSI process and outline options for advancing its goals and objectives with a view to strengthening the civil society in Canada.

Paper Number: PA021203

Paper Title: Developing Outcomes Measures for the Points of Light Foundation

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Summary of Research

Nonprofit organizations are increasingly being asked to measure and report their outcomes by funders and the public. They also are recognizing that they need information on their outcomes to inform planning, resource allocation, and decision-making. Many nonprofits see accountability as essential to maintaining the confidence and trust of the public. The authors are assisting the Points of Light Foundation in its efforts to develop outcomes measures. This paper discusses this process, how the process is affecting the organization, and the lessons learned from developing an outcomes measures system for a national non-profit.

Description

Nonprofit organizations are increasingly being asked to measure and report their outcomes by funders and the public. They also are recognizing that they need information on their outcomes to inform planning, resource allocation, and decision-making. Many nonprofits see accountability as essential to maintaining the confidence and trust of the public, especially since surveys indicate a decline in the public's trust of the nonprofit sector. The Center for Urban Policy and the Environment (Center), Indiana University–Purdue University Indianapolis, was asked to assist the Points of Light Foundation (Foundation) in its efforts to develop outcomes measures to determine if they are accomplishing their mission. This paper will discuss this process, how the process is affecting the organization, and the lessons learned from developing an outcomes measures system for a national non-profit.

Several strategies can be used to determine and measure outcomes. We have chosen to frame this discussion with the widely accepted model developed in the 1970s by the Urban Institute. (Hatry 1977, 1979). This model, which has been refined and updated (Hatry, 1999), is currently used by local, state, and federal government agencies as well as nonprofits such as the United Way (Greenway and Hatry, 1996. This outcomes model provides a framework to discuss how the resources dedicated to the organization (inputs) support the activities that result in the outputs (products of activities) that hopefully lead to outcomes (benefits for participants). Once outcomes have been identified, outcomes indicators are the specific items of information that track an organization's success while outcomes targets are the numerical objectives for the level of achievement on outcomes.

There are several steps to the model beyond those described above. The next steps are: prepare to collect data on the indicators, try out the outcomes system, analyze and report the findings, improve the system, and then use the findings. As this illustrates, outcomes development should be an iterative process at each step.

This model is consistent with alternative ways to develop and measure outcomes. For example, logic models (McLaughlin & Jordan 1999) focus on accountability, managing for results and quality, and the use of evaluation results for improvement. They are consistent with this model. Program logic models focus on background factors, program activities and outcomes. The outcome-sequence charts used in this model are basically logic models. This model also is consistent with the model described by Sawhill and Williamson (2001). Their discussion of capacity is similar to inputs, activity is similar to activities and outputs, and their discussion of impact measures is similar to our discussion of outcomes. It also is consistent with the general theory of change model developed by Abt Associates to evaluate AmeriCorps, the logic models discussed by W.K. Kellogg Foundation in their Evaluation Handbook (W.K. Kellogg Foundation 1998).

We are in the process of developing a mission-based model for measuring the Foundation's outcomes. In addition, we have are working with them to identify a range of indicators to determine if those outcomes have been achieved. We are also working with them to define the targets for those outcomes, refine data collection procedures and determine ways to measure their long-term outcomes of solving serious social problems and increase civic values and participation. Data sources include the Foundation's internal records, surveys of the Foundation's constituencies, revisions to questions on Independent Sector's Giving and volunteering survey, Season of Service Days pre and post event registration forms, national indices, and program specific evaluations.

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Paper Number: PA021263

Paper Title: The Making of Outcome Accountability in United Way Funding Requirements

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Summary of Research

This research describes the emergence of outcome accountability in philanthropic funding policy. It examines the factors shaping the funding policy of a United Way organization over thirty years(1970-present)considering the criteria by which United Way required its agencies to evaluate their effectiveness. The research rests on neo-institutional theory and asks how resource constraints and social interactions among United Way, its donors, and agencies influenced funding policy. Looking at what shapes the requirements to which nonprofits comply, this research provides a reassessment of nonprofit accountability considering funding dynamics that have been overlooked.

Description

Problem Statement

Over the past decade, accountability has been an important issue in the nonprofit sector wherein nonprofit funders, notably government agencies, United Ways and philanthropic foundations hold nonprofit organizations accountable for "outcomes" as a measure of effective organizational practice. As a consequence, nonprofit organizations are under pressure to change and be "effective" as never before, requiring more time, administrative cost and evaluation capacity to secure funding (Fine, Thayer, & Coghlan, 2000; Greene, 1999; Light, 2000). Recent research, moreover, concludes that a move to outcome accountability adversely affects a relation of trust and power between a funder and grantee (Stone & Cutcher-Gershenfeld, 2001).

In response to this trend, much of the current research and practitioner literature focuses on how one is accountable, either attentive to the practical benefits of management and evaluation practice (Gray, 1998; Plantz, Greenway, & Hendricks, 1997; Wholey & Newcomer, 1997) or critiquing the perspective on methodological or empirical grounds (DiMaggio, 2001; Light, 2000). Little, however, is known about how and why nonprofit funders have increasingly adopted an outcome focus. Given the consequential impacts of this shift on nonprofit organizations, it is alarming that how and why this change in funding practice came about is not understood.

This paper will summarize the conceptual framework and preliminary findings of my current dissertation research project -- a qualitative project that examines how and why a United Way organization redefined its funding policy over a twenty-five year period. Specifically, the project examines the different criteria and practice by which United Way required its funded agencies to evaluate their effectiveness, with outcome accountability being its most recent expression. This research is particularly relevant for understanding a United Way organization, as United Way of America and its affiliates across the country have been instrumental in promoting an outcome focus reaching well beyond the 45,000 nonprofit health and human service organizations that are member agencies (United Way of America, 2001). By looking at what shaped the funding requirements to which nonprofits comply, this research will offer new policy insight and a critical reassessment of nonprofit accountability considering funding dynamics that have been overlooked.

Brief Literature Review

The literature and theoretical discussion framing this research focuses on one key question: What accounts for the recent emergence of outcome accountability in nonprofit funding practice? Yet, existing literature leaves this question unanswered. Writers on nonprofit accountability, for instance, acknowledge an array of high profile scandals and social, political or economic conditions that gave rise to a "climate of accountability" in the 1990s' (Eisenberg, 1997; Frumkin & Andre-Clark, 2000; Independent Sector, 2000), but generalize their analysis to the sector as a whole, giving little insight to the specific actions of nonprofit funders. Meanwhile, there is little systematic knowledge on how philanthropic funders make policy of funding decisions (Gronbjerg, Martell, & Paarlberg, 2000; Tassie, Murray, Cutt, & Bragg, 1996). Finally, due to an implicit assumption of purposive rationality (Schwandt, 1992), the field of evaluation holds a timeless view of the "effectiveness" of evaluation practice and is silent on how or why evaluation practice changes.

Recent literature in organizational theory, however, suggests "effectiveness" is not an objective quality, but a social construction, or a set of beliefs and criteria about what constitutes acceptable and appropriate social practice (Forbes, 1998; Herman & Renz, 1999a; 1999b). Given this premise, the task is to understand the social processes through which ideas about what is "effective" are created, who is making the decision, and how the concept is put into practice or changed. Using constructs from neo-institutional (DiMaggio & Powell, 1983; Meyer & Rowan, 1977; Scott, 1995) and social exchange theory (Ostrander, 1995; Ostrander & Schervish, 1990; Silver, 2000), this research asks if resource constraints and social interactions among United Way, its donors and its agencies influenced changes to United Way's funding policy.

Methodology

Using a historically informed case study design, my research uses document analysis and interviews to look at a single United Way in the upper Midwest between the years 1975 and 2000. Organizational documents and newspaper archives are being interviewed at a historical library and United Way offices in order to track changes in funding policy, agency evaluation requirements, shifts in United Way's resource environment and United Way's relations to both its donors and member agencies. Interviews will be conducted with United Way volunteers and staff, United Way's corporate donors, funded agencies and outside nonprofit observers to reinforce the archival documents and illuminate motivations, rationale and beliefs when possible.

Research Significance

This study will focus on the historical context of philanthropic policymaking considering how a United Way organization has defined its grantmaking practices while negotiating the influence of its donors, public opinion and its beneficiaries. As such, the research will contribute to knowledge on the source, motivations, and practices involved in generating, allocating and managing philanthropic resources -- an area where very little systematic knowledge on philanthropic funding policy exists (Gronbjerg et al., 2000; Ostrander, Silver, & McCarthy, 2000; Tassie et al., 1996).

Understanding the motivations and practices in allocating philanthropic resources has extended importance for understanding the role of philanthropic organizations in shaping civil society. Currently, nonprofit organizations are under growing administrative stress to "be effective" and to improve their management practices (Fine et al., 2000; Greene, 1999; Light, 2000). Most literature in evaluation and nonprofit accountability, however, focuses on this pressure as one of limited management or evaluation capacity centering on how nonprofits should be accountable. Notably absent, is a discussion of who is defining these accountability requirements and the external entities to whom funders are accountable. Without this understanding, we are left to infer the administrative pressure on nonprofits as one of "capacity" rather than the context in which nonprofits operate. This research thus offers a critical reassessment and a fresh departure on a pragmatic and policy dilemma.

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Paper Number: PA021434

Paper Title: Community Level Measures as Program Goals for Evaluation and Measurement: The Case of AmeriCorps in Florida

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Summary of Research

This paper reports findings from an in-depth study of community capacity-building by AmeriCorps programs in Florida. Results are based on extensive interview, focus group, and survey data, and archival records. In addition to reporting findings of the study, the authors argue that, in shifting the unit of analysis from agencies and programs to communities, such studies constitute a modest paradigm shift in program evaluation.

Description

In 1993 President Clinton signed into law the National and Community Service Trust Act, the centerpiece of which was a new national service initiative-AmeriCorps. The overall purpose of AmeriCorps was to promote community building through volunteer service, under the belief that civic society is promoted most effectively when "people and their government work at the grass roots in genuine partnership" (Corporation for National Service, 1994, p. 1). The Corporation for National and Community Service identified three goals for national service programs, including AmeriCorps: (1) getting things done through direct and demonstrable service, (2) developing the leadership and skills of national service participants, and (3) strengthening communities (Thompson & Perry, 1998).

Concern over improving the health of communities is a long-standing tradition in the United States. Since the 1960s and 1970s, there have been widespread efforts across American communities to establish community goals and visions, to measure the quality of life in communities, and to mobilize community resources to achieve these purposes. The social indicators movement of the 1960s and 1970s developed social, health, environmental, education, crime and other non-economic indicators of community well-being which could be tracked over time to help citizens and elected officials identify community needs and strengths (Besleme and Mullin, 1997). This movement matured into community benchmark projects at the state and local level in the 1990s, including benchmark reports in Florida and other states.

In the community development literature, the phrase "building community capacity" has emerged as a strategy in good standing. "Community Capacity" is that illusive mix of leadership, resources and collective will that makes communities function well and solve their own problems.

Various efforts underscore the current interest in and attention to building strong communities and to the notion that civic engagement by citizens is important in this process. Citizens volunteer their time and ideas to plan how to improve their communities, and volunteer to carry those plans out. AmeriCorps was created to combine the notion of encouraging volunteer service in communities with the directed focus of achieving specific community needs identified through a community planning process. Thus the AmeriCorps program functions within the broader political and social context of addressing hard-to-solve community problems and promoting volunteerism so individual citizens and their communities get the benefits of working to help others through community service.

The notion of community-strengthening remains difficult to operationalize for purposes of assessment studies, however, and it is not an easy thing to know with certainty that individual programs directly impact communities. A number of national studies have evaluated AmeriCorps or other community service programs to determine if these programs have contributed to strengthening their communities. Thompson and Perry (1998, 400) summarize this literature and assert that AmeriCorps seems to:

"build communities in three different ways: (1) through the personal and professional development of individual corps members who learn to model a service ethic over time as a result of their personal involvement in direct acts of service; (2) through building the capacity of the community-based organizations and fostering partnerships among these organizations to better meet community needs; and (3) through concrete focused activities within targeted communities such as low-income neighborhoods, inner-city schools, or in communities of people such as children, youth, or the elderly."

Thompson and Perry (1998, 406-407) found multiple examples of ways that corps members contributed to the organizations for whom they worked. Services were expanded, more students and community members participated in the organizations' programs, board members became more active at one AmeriCorps site, and student attendance and attitudes improved for learning. Thus "whereas AmeriCorps had made a negligible impact on the community as a whole, it had positively affected the individual organizations in which corps members worked" in a moderate to large way (p. 406). "In contrast to AmeriCorps's program expansion effects, however, we found only limited evidence for other types of organizational capacity building, such as improved internal evaluation systems, strategic planning, or increased fund-raising skills" (Thompson and Perry, 406).

The Thompson and Perry (1998) evaluation also revealed lessons about how local AmeriCorps programs successfully developed collaborative relationships with partner organizations that helped sustain the program efforts. Factors leading to program sustainability included nurturing relationships with local newspaper staff, creating a sense of ownership among community residents, and implementing strategies for generating volunteers who go beyond "project volunteers" to have more long-term commitments to the non-profit organizations (Thompson and Perry, 1998, pp.412-413).

Other studies have assessed whether service learning and active volunteerism during the ages between 17-23 leads to long-term commitment to increased community volunteering. One study by Astin, Alexander, Sax and Avalos (1999) finds that service involvement of college students in service learning or community volunteer programs increased the likelihood that those participants will volunteer over time, studying behavior five years after college graduation. Many AmeriCorps programs feature intergenerational working relationships between Members and clients.

A study by Wechsler and Sanderson (1995) on the National Rural Development Partnership Initiative-a non-AmeriCorps program-- found collaborative relationships among rural community organizations, both public and private, were important ingredients in successful economic development efforts. But collaborative relationships that endure require attention to building personal relationships and commitment to the networked relationships, and developing norms and rules for self-governance. The study also underscored other lessons necessary to build interorganizational collaboration to solve community problems: 1) mutual missions and benefits should be identified early and reinforced over time; 2) a written strategic plan helps lay out the mission as well as roles and responsibilities among agencies; and 3) program evaluation and learning among the stakeholders must occur.

The Florida Commission on Community Service (hereafter, FCCS) has developed an extensive program of technical assistance and administrative support to its funded AmeriCorps programs. Numerous observers note that FCCS has created one of the most ambitious AmeriCorps efforts among the 50 states. Their systems of oversight include quarterly program director training meetings, intensive first-year start-up support from state program consultants, and in-depth quality assurance site visits (designed to improve weaknesses and ensure key issues are being addressed effectively). All of these efforts are designed to be proactive and to go beyond simply monitoring programs for regulatory compliance. Over the last several years, the FCCS has given more attention to helping programs meet their community strengthening objectives and to building sustainability for long-term program success. With the assistance of a Corporation for National Service grant, FCCS decided in early 2001 to conduct an evaluation of its Florida AmeriCorps programs to understand better how community service programs help build community capacity, and to help promote the diffusion of best program practices in community strengthening across state programs. The study addressed three broad areas: 1) understanding how volunteerism and community service programs build healthy communities and committed citizens, 2) determining what best practices are currently used in Florida programs to fund and strengthen community service programs, and 3) assessing how communities effectively sustain their community service programs over time. This paper presents findings from that evaluation.

Our results are based on a thorough examination of four types of data: (a) site visits to ten programs; (b) interviews with over 30 individuals, including FCCS staff, AmeriCorps program directors and staff, and Community Partners; (c) extensive examination of program reports and FCCS records; and, (d) findings from three web-based surveys sent to program directors and staff, Community Partners, and program Members, respectively.

Paper Number: PA021438

Paper Title: A Model of the Impact of the United Way of America's Outcomes Measurement Model on Organizational Sensemaking.

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Summary of Research

This conceptual paper assesses the theoretical impact that outcome measures, as a means of stakeholders holding organizations accountable for their actions, have on organizational processes. It goes beyond evaluating the surface level of outcomes measures as an element of program evaluation. The paper uses a sensemaking approach to hypothesize the impact of the United Way of America's logic model based outcomes measurement system on member organizations. A main implication of this theory building indicates that using only outcomes measures for organizational accountability may have the unintended effect of decreasing opportunities for double-loop learning in organizations.

Description

Nonprofit organizations are being asked by United Way of America, the federal government, and numerous private foundations to adopt "outcomes measures" as a way to show that they are using their resources wisely. While this management reform movement in the nonprofit sector may be at "high tide" (Light, 2000), there is scant empirical evidence of the impact of this move to accountability through outcomes measures on 1) the effectiveness of program delivery (Poole, et.al., 2000) and 2) how this increases organizational accountability. While there is a growing program evaluation literature related to outcomes measures, the relationship between the outcome measures movement and organizational effectiveness and accountability for nonprofit organizations is underdeveloped (Herman and Renz, 1999).

This paper seeks to assess the impact that outcome measures, as a means of stakeholders holding organizations accountable for their actions, have on organizational processes. This analysis is accomplished by examining the relationship between outcomes measures and sensemaking (Weick, 1979) in organizations that are members of local United Way of America agencies. This paper seeks to get beyond evaluating the surface level of outcomes measures as an element of program evaluation. It seeks to evaluate how outcomes measures, when "demanded" by stakeholders in the process of holding organizations accountable for their actions and as forming part of the basis for future funding decisions, effect organizational processes. The research question for this inquiry is: What impacts do outcomes measures, when used for the purposes of organizational accountability, have on the enactment, selection, and retention processes of organizational sensemaking of United Way member agencies.

In order to address the above research question, this paper will explore an approach to accountability based on measuring the outcomes produced by nonprofit organizations. This approach can be used to demonstrate the benefits of programs to potential funders, be used in internal resource allocation decisions, provide the basis for formal in-depth program evaluations, and support planning efforts, with the ultimate goal of making program delivery not only more effective, but also more efficient (Hatry, 1999: 158). While there are various approaches to organizational accountability, this paper will only focus on outcomes measures. Therefore, one limitation of this paper is that it brackets off outcomes measures from other actions organizations can take in an effort to be accountable to their stakeholders, potentially excluding relevant information in understanding the impact of outcomes measures on sensemaking. Since this paper further brackets the environment by only considering the United Way of America's approach to measuring program outcomes (United Way of America, 1996), a brief review of their logic model will be provided. The final section of the paper will develop a theoretical framework for understanding the relationship between the United Way's approach to outcomes accountability and sensemaking. By comparing Kevin Kearns' (1994) three dilemmas of articulating accountability in the nonprofit sector to the sensemaking process, this paper develops an argument for the usefulness of a sensemaking lens in examining organizational accountability.

Through a sensemaking lens, this paper will develop propositions relating: 1) the effect of a focus on outcomes accountability on the selection process; and 2) the effect of retention process on the enactment and selection processes. Finally, the paper will account for the possibility that the logic model is loosely coupled with organizational sensemaking. A proposition will be developed concerning the effect of institutional pressures on organizational processes.

For the purposes of this paper, the unit of analysis will be the programs for which outcomes measures are developed. It is assumed that program managers, in conjunction with top-level managers in the organization, reach convergence on a cognitive map of the program and its relationship to the organization that enables the organization to interpret the environment as a system (Daft & Weick, 1984).

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Paper Number: PA021110

Paper Title: On My Honor, You Can Count on Me: Management Strategies and Organizational Commitment Among Volunteers

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Summary of Research

In this paper, we analyze two comparable organizations from two differing perspectives. First, we describe the operational structure and environment of two national volunteer organizations, each having similar goals, but each approaching them in a different way. In this section, we fill in and extend the distinction between membership and program management first put forth by Meijs and Hoogstad (2001). Second, we examine the issue of why individuals may volunteer for particular organizations, and what meanings these motivations have for the organization and its management strategy.

Description

I. Problem Statement/Relation to State of Knowledge in the Field

Do the operational goals of a volunteer organization dictate its strategy for managing volunteers, or is its strategy influenced by other factors? How does an organization's volunteer management strategy affect the commitment of its volunteers? In particular, how do the goals of individual volunteers interact with organizational practices? In the proposed paper, we will analyze two comparable organizations from two differing perspectives. First, we will describe the operational structure and environment of two national volunteer organizations, each having similar goals, but each approaching them in a different way. In this section, we will fill in and extend the distinction between membership and program management first put forth by Meijs and Hoogstad (2001). Second, we will examine the issue of why individuals may volunteer for particular organizations, and what implications these motivations may have for the organization and its management strategy. (In this paper, we will understand volunteer organizations to be those in which the majority of operational tasks are performed by volunteers.)

Membership and Program Management

Meijs and Hoogstad (2001) observe that European (Dutch, in particular) volunteer organizations take a fundamentally different approach to the management of volunteers than do American volunteer organizations. In this typology, management systems focus either on the volunteers themselves (membership management) or on specific operational tasks (program management). In the former system, common to European organizations, tasks are planned such that they fit the expectations of the volunteers existing within the group. Conversely, organizations adopting the more "American" style of program management begin by identifying the tasks to be done and then find volunteers to do them.

Meijs and Hoogstad argue further that each strategy is more appropriate to some sorts of organizational goals than to others. In fact, the question was raised whether this distinction differed substantially from the distinction between mutual benefit and service delivery organizations (p. 58). In this paper, we will argue that the importance of the membership/program distinction extends beyond the type of "business" in which an organization is engaged. The relationship between a particular management strategy and the goals of individual volunteers is at least equally important as the relationship between management and organizational outputs.

A management strategy is a mechanism through which an organization seeks to align the goals of its employees (or volunteers) with those of the organization. The aim of such alignment is not simply to produce well-regulated performance, but to cultivate commitment among the members of an organization. To compare the potential efficacy or appropriateness of two or more different strategies, then depends not only on an understanding of the results an organization seeks to achieve; it requires also an understanding of factors that affect the development of organizational commitment

Volunteer Commitment

Research suggests that commitment among volunteers may no more be taken for granted than among paid employees, and that, in some settings, volunteer commitment seems nearly impossible to cultivate (for example, see Meijs, 1997; Pearce, 1993; Ellis, 1986). As with happiness, money may not be able to buy commitment, but it is surely useful in creating settings in which it may thrive. In paid work settings, it may ensure the consistent presence of some minimal level of effort, even when commitment is low. In volunteer organizations, however, monetary incentives are available neither to encourage commitment nor to compensate for its absence. Problems of organizational commitment may therefore be exacerbated in volunteer organizations.

What do volunteers seek to gain through their efforts? Assuming that volunteering behavior is associated with altruistic tendencies, numerous studies of why individuals choose to volunteer or not tend to yield two broad categories of motivations: "egoistic" or "altruistic." As Cnaan and Goldberg-Glen (1991) argue, however, such distinctions have proved useful neither in developing theories of volunteer motivation nor in generating consistent empirical results. It is more useful to assume from the start that volunteers all "use" their activities to their own advantage. The assumption that volunteers seek to profit in some way from their volunteer work allows a shift in focus from the specific nature of the volunteer's goals to the manner in which those goals are to be achieved.

Initial motivations to volunteer may have little or no effect on subsequent commitment to volunteer work (see Tschirhart et al., 2001; Cnaan and Cascio, 1999; Penner and Finkelstein, 1993; Cnaan and Goldberg-Glen, 1991; Pearce, 1983). The goals volunteers pursue through continued involvement are likely to change. While reasons may abound as to why the goals change (see especially Pearce, 1983 and Cnaan and Goldberg-Glen, 1991) they all point to the fact that individuals not only pursue their goals in the context of an organization, but that the organization itself plays a key role in developing and shaping the goals of its volunteers.

In the theory to be elaborated in this paper, the most proximate determinant of organizational commitment among volunteers is expected to be the likelihood that they will achieve their most salient goals through their work with that organization. The likelihood of achieving those goals will obviously be affected by the nature of the goals themselves (for example, if they focus on intrinsic or extrinsic rewards), but may also affected by the organization through its volunteer management strategy. The goals themselves, while initially shaped by a number of individual personality, demographic, and social characteristics, may also be shaped and re-shaped by the organization through continued involvement.

II. Approach (data sources)

The proposed paper will consider volunteer management strategies and organizational commitment in two specific volunteer organizations: Scouting Nederland (SN) and Girl Scouts of the United States of America (GSUSA). Both organizations are part of the worldwide Scouting movement. Both depend primarily upon volunteers to carry out their work, have been in existence for nearly a century, and have relatively large memberships. From all appearances, both have had considerable success in cultivating commitment among their volunteers. Aspects of their histories and current structures, however, suggest that each organization has found a unique solution this problem.

Scouting Nederland

Scouting Nederland was formed from the bottom up. The scouting movement in the Netherlands began in 1910, with the formation of several troops of boys. As the movement spread, troops joined with other troops to form a number of national scouting organizations. Since 1973, all five scouting organizations have been members of SN.

The organization is currently comprised of a national level, forty-eight regions, and more than one thousand local groups throughout the country. Although the levels of organization in SN are often described in vertical terms, there is little evidence of an actual hierarchy. Although the structure consists of a number of different levels, authority does not appear to flow vertically through them. Meijs (1997) reports a fair amount of disconnect between the various levels, with the upper or national level attending mainly to its own agenda and the local units attending largely to theirs, often to the extent of ignoring each other altogether. SN is hardly in a state of chaos, however, and this disconnect has apparently characterized the organization for most, if not all, of its history.

Girl Scouts of the United States of America

By contrast, GSUSA was formed from the top down. Founded in 1912, it was originally conceived as an organization of national scope, although the first troops were organized locally. A national headquarters

was established and a national staff hired during the first year of the organization's existence. It was officially chartered as a national organization within three years of its founding, and its first national convention was held one year later.
The current structure of GSUSA is obviously vertical. The organization is directed at the national level, which grants charters to and closely oversees the work of councils, who form regional units ("Service Units" or "Neighborhoods") to supervise and coordinate the day-to-day details of Girl Scouting, as carried out by small local troops.

The proposed paper will make use of both qualitative and quantitative sources of information. Qualitative comparisons of the two organizations will include information from official reports and documents, as well as from interviews with key individuals within each organization. Because data collection will still be underway at the time of the conference, tentative quantitative comparisons will be made using preliminary results from a survey to be conducted among volunteers in both organizations.

III. Contribution to the field
The proposed paper will speak to two major voids in the literature on volunteer organizations. First, it focuses on management structures specifically designed for volunteers. This is an important issue to explore, given the scale on which volunteers contribute their time and efforts within organizations. Second, by laying the groundwork for a theory of organizational commitment among volunteers, it will draw a bridge between theory and practice which should contribute both to the advancement of the research interests and the development of solutions to problems of volunteer management in living, breathing organizations.

Paper Number: PA021473

Paper Title: Reasons for Terminating Service with the Long Term Care Ombudsman Program: Implications for Volunteer Retention

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Summary of Research

In this paper, we examine factors that former volunteers perceive as discouraging and meaningful to the fulfillment of the long term care ombudsman job. Reasons for leaving the program, and queries about what factors would have encouraged them to remain as volunteer ombudsmen, provide clues about the nature of volunteer satisfaction and retention. We begin with a brief background of what is known about volunteer ombudsmen, followed by information leading to the reported study.

Description

Reasons for Terminating Service with the Long Term Care Ombudsman Program:
Implications for Volunteer Retention

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Key Words: Volunteer Retention, Advocacy, Elder Care, Volunteerism, Volunteer Management

The Issue to be Addressed

In this paper, we examine factors that former volunteers perceive as discouraging and meaningful to the fulfillment of the long term care ombudsman job. Reasons for leaving the program, and queries about what factors would have encouraged them to remain as volunteer ombudsmen, provide clues about the nature of volunteer satisfaction and retention. We begin with a brief overview of what is known about volunteer ombudsmen, followed by background information that leads to the reported study (Connor & Winkelpleck, 1990; Dehart, 1999; Harris-Wehling, Feasley & Estes, 1995; Litwin & Monk, 1984; Nelson, 1995; Nelson, 2000; Nelson, Huber, & Walter, 1995a; Nelson et al, 1995b).

Topic In Relation to the State of Knowledge in the Field

Recruiting volunteers is tough, unending work and many ombudsman program leaders are finding it more difficult than ever to retain sufficient numbers of volunteers. This is worrisome because volunteers have historically comprised over 90% of all Long Term Care Ombudsmen nationwide. Their numbers have risen dramatically from 3,306 volunteers in 1982 (American Association of Retired Persons [AARP], 1994) to over 13,000 in 1999 (MacInnes & Hedt, 1999). This growth largely occurred when the number of states using volunteers increased from 29 to 38 between 1984 and 1987 (Schiman & Lordeman, 1989). Moreover, ombudsman volunteers serve in far more numerous settings than was once the case. Today, certified ombudsman volunteers monitor not only nursing homes, their historic focus, but a wide variety of community based long term care facilities, sub-acute care and other specialized units, and even home health care in some states.

Not all volunteers associated with the Long Term Care Ombudsman Program (LTCOP) perform advocacy roles. Some are friendly visitors, while others handle everything from minor complaints about cold coffee to major problems such as wrongful death (MacInnes & Hedt, 1999). For instance, of the 13,000 or so volunteers serving in all ombudsman program capacities in 1999, only about 7,700 were actually certified as investigatory ombudsmen (MacInnes & Hedt, 1999), compared with 6,741in 1994 (AARP, 1994). This is not much of an increase in six years when one considers the sharp increase in 85-year-olds at risk for institutionalization and the aforementioned expansion of ombudsmen into a variety of home-health and community based care settings.

The Approach

As part of a larger study, volunteers recruited from Oregon's LTCOP's various recruitment and screening committees were trained in phone survey techniques. Over a period of three months, they randomly contacted 170 former certified ombudsman volunteers from an estimated pool of at least 350 individuals who had resigned from the program during the previous five years. Of the 170 contacted, 147 (85%) responded to these four open ended questions: What three or more factors (a) would have encouraged you to have remained on the job? (b) were the most meaningful parts of your job? and (c) were the most discouraging parts of your job? Respondents were asked for their top three reasons in order to encourage reflection on these three questions. We received an average of 2.46 responses for each of these first three questions but a mean of only 1.14 responses for the last question, (d) What were your reasons for leaving the program?

Contribution to the Field

This study suggests that some of the problems that haunted early ombudsman programs persist, but can be greatly ameliorated even with very small numbers of paid staff. As long as the ombudsman program relies on older volunteers, health will probably lead the list of all causes for terminating program service, but as Schiman and Lordeman noted in 1989, the program must stay true to training and retaining patient advocates. It must resist the tendency to recruit any-and-all-comers, or retain those unsuited to the patient defense role. Programs with more resources may seek to develop ancillary volunteer roles, as Oregon has done in its rather large cadre of non-paid volunteer recruiters. Otherwise, all resources must be dedicated to the support and empowerment of those who are willing and able to engage in interpersonal conflict to benefit those who can no longer advocate for themselves.

This study has resulted in a primer, of sorts, for the recruitment and retention of volunteers in local and state Long Term Care Ombudsman Programs. In the final analysis, only the Personal Factors (18.5%) are beyond the control of ombudsman administrators. Program Factors, the major category of responses, are within administrators' control and it appears to be these factors that are particularly important to volunteers. This suggests that the large majority of circumstances and events that keep or drive away volunteers stem from situations that could be made more volunteer-friendly--and therein lies the challenge.

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Paper Number: PA021614

Paper Title: Getting Started: The Implications of the Early Years of Membership-based Organizations

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Summary of Research

Histories of membership-based organizations reveal several common patterns. The most significant, no matter when founded, is that a small cadre of individuals are willing to give their time and talent to address a common problem or ideal. These founders freely contribute an inordinate amount of time, energy, and financial resources to build a firm foundation for their organization. Their spirit and passion fosters an important sense of community as these early documents reveal. Other patterns indicate a degree of isomorphism in the their organizational development. These findings offer important insights into the culture and environment necessary to influence member involvement.

Description

Membership-based organizations (MBOs) are defined as a population of individuals or organizations who join together to promote and protect their mutual interests. These are uniquely defined communities that are self-governing, the members (citizens) of which have the right to vote for their leaders and to hold leadership positions, both elected and appointed. Professional staff implement the policies and procedures the governing body establishes. Participation in these organizations is on a voluntary basis and all require dues for membership. These organizations have been part of our society for two hundred years and there are now approximately 140,000 representing myriads of professions, trades and interests.

This paper is focused on the establishment and early years of these organizations because they reveal important common patterns for member involvement no matter when founded. These patterns were drawn from a sample of histories that span 175 years in which these organizations have operated effectively in our society. These patterns reveal a set of common problems in organizational development within the membership-based sector of the non-profit world. They also point to some of the underling social dynamics that initially compel individuals to join for collective action but also indicate some of the problems of sustaining the close sense of community experienced in the early years. Understanding these dynamics and problems provide greater insight into the organizational and interpersonal processes required to sustain an organization's vitality.

In the literature on non-profit organizations, membership-based organizations have not been singled routinely out for research. This research recognizes some of their unique organizational qualities and characteristics while also emphasizing some of their distinguishing features. Their role as change agents in our society has been overlooked and neglected. Understanding the patterns of their foundation offers insight into this significant characteristic of their current structure and function.

The approach analyzes a set of common patterns and problems that have been identified through reviewing historical documents as well as from personal interviews with founders of organizations established in the last twenty years. These data represent membership-based organizations from a wide range of professional, trade and interest groups. The American Society of Association Executives (ASAE), the Center for Excellence in Association Leadership (CEAL), the Independent Sector (IS), and BoardSource (formerly the Center for Non-Profit Boards) have produced a number of publications on the characteristics of these organizations that were used to help guide the analysis.

Understanding the social changes that contributed to the founding of these organizations will help guide future research into their structure, functions and operations. Identifying the common patterns offers us insight into their origins as unique communities. We must understand that they remain communities and require the involvement of members as citizens in order to achieve their stated mission. The initial passion and dedication of the founders cannot be sustained over the life of the organization however necessary for its early development. Nonetheless, the spirit of that effort must remain present in order for the organization to socialize new members successfully to become active citizens within the community.

Paper Number: PA021344

Paper Title: Social Capital and Private Philanthropy

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Summary of Research

The main goal of this paper is to use the National Survey of Giving Volunteering and Participating recently released in Canada to examine how social capital may influence private donations of time and money. The paper uses econometric techniques to estimate a system of giving equations – one for time and one for money – which include as determinants several factors underlying a social capital production function. Our results support the idea that social capital exerts a positive influence on private giving.

Description

The Problem to be Addressed and Relationship to the Literature

The topic of "social capital" has spurred a substantial body of work in recent years, especially following Putnam's highly-controversial conclusion regarding its decline in the United States (Putnam 1995). While much of the literature on social capital is preoccupied with measuring its presence and tracking its evolution through time, these are by no means the only problems treated by this body of work. Indeed, a great deal of research examines how social capital affects individual and group behaviour. For instance, Hirschfield and Bowers (1997) conduct an empirical study showing that, among disadvantaged communities in the United States, those with high levels of social cohesion have lower levels of crime in comparison to those with lower levels of social cohesion, and vice versa. Putnam (1998) has written on the importance of social capital for housing and neighbourhood development, while its impact on the education of children, child welfare and family stability have been studies by several authors (e.g., Gradstein and Justman, 2000; Micklewright and Stewart, 2000; Carnoy, 1999).

Because of its highly nebulous nature, quantifying social capital can be a difficult and imprecise exercise, leading to all sorts of questions regarding its evolution through time. Moreover, many of the larger data sets typically employed in economic analysis simply do not amass information that captures or reflects the extent to which social capital is present. Fortunately, an exciting new data set has been released in Canada which provides several indicators of social capital. In November 1997, Statistics Canada, in cooperation with five other agencies, undertook a comprehensive survey of individuals in Canada: the National Survey of Giving, Volunteering, and Participating (NSGVP) contains detailed responses from 18,301 individuals regarding their philanthropic, civic, and other endeavours over the 12 month period November 1, 1996 to October 31, 1997. It also provides a rich source of data on a broad array of household and individual characteristics.

The main goal of this paper is to analyse empirically the extent to which social capital has influenced private donations of time and money to charities, using the NSGVP data set. The basic premise of this paper centres on the idea that behaviour is modified by the presence and amount of social capital – with more social capital encouraging better social behaviour. We thus expect private philanthropy to increase with social capital, and would like to determine how sensitive private giving is to the stock of social capital facing any given individual.

Approach Taken in the Paper

This paper uses econometric techniques to examine the potential impact of various indicators of social capital on private philanthropy. We assume the existence of a social capital production function (SC) as a function of several measurable inputs (Z) plus a random error term (i.e., SC = ãZ + ì). The choice of inputs for the Z vector was made based on the literature on social capital and the availability of data.

Specifically, we include six determinants: the religiosity of individuals, the length of time the individual has stayed in his or her current abode, their proclivity to vote, whether or not the individual is an immigrant, the size of the population in his or her community, and measures of television viewing.

From the point of view of the individual, two decisions have to be made: how much cash and how much time to donate to the provision of the public good. Thus, from an econometric perspective, two equations must be estimated:

Yt* = ât' Xt + èt' SCt + åt , Yt = Max(0, Yt*) (1)
Ym* = âm'Xm + èm' SCm + åm , Ym = Max(0, Ym*) (2)

where Ym* is money donations or the demand to give in cash, and Yt* is time donations representing the demand function for volunteer time. Xt and Xm are the vectors of explanatory variables for giving in time and money which may differ across the two functions, and SCi refers to the stock of social capital facing each individual for giving in (i=t) time and (i=m) money (where SCi = ãi' Zi + ìi). These two giving equations can be considered as consumer demand functions derived from a utility maximization framework. Empirically, they are observed if and only if the real amount of giving either in cash (Ym) or in time (Yt) is greater than zero – in other words, the data are censored at zero.

Each individual in this model has to decide how much he or she would like to give either in cash or in time or in both. Four possibilities arise: the individual gives only money, only time, both money and time, or neither money nor time. The bivariate Tobit model thus estimates a system of four likelihood functions similar to those presented in the appendix of Brown and Lankford (1992).

Contribution to the Field

Some work has already been done on the relationship between social capital and private philanthropy. For instance, Greeley (1997) reports on research which looks at the relationship between religion, social capital, and voluntary service. Religion, it is suggested, is a form of social capital, and this form appears to be correlated with voluntary activity. Indeed, various econometric analysis of volunteering confirms the positive impact that religiosity has on the volunteer effort (e.g., Day and Devlin 1996).

However, with few exceptions, while the link between social capital and philanthropy has been discussed in the literature, it has proved to be quite difficult to analyse empirically because of the lack of adequate data. The NSGVP, with its rich array of data on a variety of social capital indicators, affords us the opportunity to fill this gap. The existing work in this area provides some guidance regarding the types of factors suitable as indicators of social capital. For instance, in addition to the religiosity of individuals, Alesina and La Ferrara (2000), among others, suggest that the ethnic composition of the community matters – the more homogeneous the community, the higher the feeling of social cohesion, ceteris paribus; Putman (1995), and others, focus on measures of civic participation; while still others point to the inextricable link between social capital and human capital (Glaeser 2000).

While still preliminary, several findings support the notion that social capital exerts a positive influence on private giving. In addition to confirming the importance of several household and personal characteristics in determining gifts of time and money, we find that one of the most important influences on private giving is having a university education. Our results also confirm a strong link between religiosity and giving. The impact of television viewing on philanthropy supports the idea espoused by Putnam (1995) that social capital diminishes with the amount watched. Television viewing can be considered as reducing personal social capital by reducing the hours available to interact (and potentially the quality of these interactions as well) while adversely affecting the stock of social capital. The relationship between voting and giving is very clear: voters give more to charity. The act of voting arguably has two effects: the first, by virtue of the fact that voting compels the individual to be aware of the candidates and issues, increases the ability of the individual to connect with the broader community, thus enhancing his or her personal social capital; the second effect is to augment the broader stock of social capital by having a population which is, presumably, better informed about current affairs. This augmentation in social capital results in more gifts of time and money to charity. Finally, our results support the idea that complementaries are present across the actions of many individuals: stable communities foster greater stability, and stability fosters greater investment in the community.

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Paper Number: PA021497

Paper Title: Domestic Constituency Building of International Development NGOs -- Lessons from Japanese Example

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Summary of Research

This paper examines ways in which International Development NGOs (IDNGOs) form strategies and implement them for gaining domestic support for their activities overseas, and hold themselves accountable to their constituency. The questions addressed are: 1) general difference between IDNGOs and other nonprofits (particularly community-based organizations, or CBOs) in constituency building; 2) general difference of constituency building of IDNGOs among industrial nations, particularly the United States and Japan; and 3) the level and nature of support IDNGOs gain depending on the type of activities -- emergency assistance, longer term development assistance, and international campaigns.

Description

1. The problem or issue to be addressed

International Development NGOs (IDNGOs) that originate in industrial countries are usually faced with unique challenges in domestic constituency building. This is because, unlike the activities with community-based focus, IDNGOs need to gain support for a cause that is physically -- and thus usually psychologically -- distant for the domestic constituency. Their programs are carried out in a place where would-be supporters in their home country do not have a direct link or exposure. Although it is mostly true to say that IDNGOs have relatively easy time in obtaining support for international disaster, famine or humanitarian emergencies, when it comes to a longer term support for economic or social development, things look pretty different.

In this paper, the authors will examine ways in which IDNGOs form strategies and implement them for gaining domestic support for their activities overseas, and hold themselves accountable to their constituency. The central questions the authors will address are:

* General difference between IDNGOs and other nonprofits (particularly community-based organizations, or CBOs) in constituency building and gaining support in their home country (question of relevance);
* General difference of constituency building of IDNGOs among industrial nations, particularly the United States and Japan (cause-based vs. relations-based);
* The level and nature of support IDNGOs gain depending on the type of activities:
a) emergency or humanitarian assistance
b) development assistance in health, education, environment, etc.
c) international campaigns

2. The topic's relation to the state of knowledge in the field

Constituency building is a topic of significant importance for nonprofit practitioners in particular, since building constituency can be equated to building support, financially or otherwise, for the organization. From that perspective, much has already been talked about how effectively to build constituency for one's cause or issues. The authors hope to bring in international comparative perspective to the topic.

When it comes to IDNGOs and their unique environment for constituency building, the theme is usually discussed within the larger framework of NGO legitimacy and their participation in the international public policy making. The authors hope to enrich its discussion by examining the nature and level of public support as a crucial element of establishing their legitimacy.

3. The approach the authors will take (including data sources)
The authors will examine the following as indicators of the level of support IDNGOs and their activities receive:
* Financial support in the form of individual and corporate contributions
* Membership
* Other types of support (signatures collected for petitions, partnership formed with the public sector and international agencies, etc.)

The authors will also pay particular attention to and take up some concrete cases of the IDNGOs in Japan and elsewhere to obtain domestic support in their activities in Afghanistan and its surrounding region from the latter half of 2001. In the process, the authors would like to raise the topic of social capital as a prerequisite for support, since it will be shown that the level of support achieved is seen as a result of "readiness" -- which is conditioned by both the general awareness of the issue at hand and social network through which knowledge is disseminated .

4. The contribution to the field the work will make
The authors believe that the points that will be construed from the paper will stimulate further discussion on the topic of constituency building of IDNGOs. Since the authors are practitioners engaged in the work of promoting international collaboration of IDNGOs, the work will be systematically utilized to strengthen support for IDNGOs and thus the international civil society movement.

Paper Number: PA021540

Paper Title: Trust, more or less: A rational model

Author(s):

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Summary of Research

This paper analyses the concept of trust to clarify its application in the governance and management of voluntary organisations. It develops a rational model of trust and applies it to:

the trust placed in trustees of charitable organisations, analysing the tension between the public, legal aspects and the assocational (in terms of members and/or service users) factors;

the trust placed in politicians and national government, analysing the relationship between public trust, public opinion and policy delivery.

It offers an assessment of what aspects of trust are applicable in different situations, questioning 'trust' as an all-embracing concept.

Description

Trust, more or less: A rational model

Trust is a wide-ranging concept that, prima facie, shapes and helps understand many aspects of political and associational and of individual actions. But its breadth is both an asset and a problem

This paper analyses the concept of trust and its application in a range of theories with a view to clarifying its application in the governance and management of voluntary organisations. It does so by developing a rational model of trust and applying it in two areas:

1) the trust placed in trustees of charitable organisations, analysing the tension between the public, legal aspects and the assocational (in terms of members and/or service users) factors;

2) the trust placed in politicians and national government, analysing the relationship between public trust, public opinion and policy delivery.

In the latter, it takes the New Labour Government of Tony Blair in the UK as an experiment in trust.

From these explorations, the paper discusses how a rational model of trust stands against other theoretical constructions and whether the range of theoretical and practical applications of 'trust' constitute a spectrum or represent distinctive concepts.

The practical application of this analysis is to require a clearer assessment of what aspects of trust are applicable in different situations and to question 'trust' as an all-embracing concept. It points to the importance of limiting the aspiration for being trusted and of seeing the need for distrust.

The paper begins with a recognition of the significance of trust in the everyday vernacular about organisations, especially voluntary organisations, being pereceived as part of the 'essential niceness' of the voluntary sector (Leat 1995). It notices how broad is the span of uses of the concept of trust from prejudices and folklore about other individuals through to the law of trust which underpins the law of charity in the UK.

The literature of trust ranges from political studies (eg Aberbach and Walker 1973) through sociological (eg Eisenstadt 1995) and organisational theories (eg Arrow 1974, Kramer and Tyler 1996) to the current focus on social capital and civil society (eg, Fukuyama 1995, Putnam 1993, Tonkiss and Passey 2000). A full literature analysis, indicated in summary in this paper, displays the tenacity of the concept and in particular its identification with the 'modern age' and cross-over into 'late modernity' (eg Gambetta 1988, Giddens 1990, Seligman 1997). The paper will take as a principal theme Gambetta's (1988) formulation of trust as a device for coping with the freedom of others.

An original theoretical contribution of this paper is to develop the model of trust as a rational procedure, building on Popper's hypothetico-deductive method and logics of problem-solving and situational analysis (drawing on Popper 1961, 1972 and 1982). Essentially, this sees trust as based on a predictive hypothesis about the outcomes of other people's actions and on procedure for, iteratively, testing and learning from the act of trusting (referencing previous conference papers by this author).

The paper then, firstly, turns to apply this model to the issue of trust in trusteeship. It draws on an action research project on the involvement of service-users in the governance of voluntary organisations (referencing author and colleagues). Setting findings from this research against the law of trust, draws attention to the ways in which trustees may hold formal public trust but not be seen as trustworthy by users and members, and it attempts to offer an explanation by analysing the situational logic of trustees. The application of situational logic raises questions as to whether issues of identity and identification may be key.

Secondly, the paper applies this model to the election strategies of the New Labour party in the UK led by Tony Blair and its deliberate and explicit attempt to gain trust (eg Leadbetter 1999). The party did so along the lines of the rational model, seeking to demonstrate through meeting its promises that as a party and then as a Government it could be trusted and hence anticipating a transformation of the relationship between Government and people. The continuing experience of this Government and its acceptance by the electorate in the face of events which might have been predicted to have undermined that trust prompts some rethinking of the place of trust in national politics. In this respect, the Blair Government may be seen as experiment in a concept of trust. It raises questions about connections between trust, competence (in delivery of policies and election promises) and public opinion.

These two analyses lead the paper to ask whether a rational model is adequate. In both cases there appears to be another - arguably more profound - aspect of trusting, which may be identified more as a feature of a 'moral community' than the 'utilitarian' (rational) approach (Halfpenny 2000). Is this, though, a separate category or a place on a spectrum of trust?

The analyses also provoke some rethinking of trust as a device to cope with the freedom of others, following Gambetta (1988). Not only referring to the 'control freak' allegations levelled at the Blair Government (which are interpreted partly as a consequence of the endeavour to deliver promises and gain trust), but also reflecting on the 'moral community', being trusted may be seen as an restraint (cf Seligman 1997).

In practical terms of voluntary organisations, this discussion at least suggests that organisations should be wary of adopting an all-embracing definition of trust and being trusted as an aspiration. It may also, however, suggest that the seeking of trust could be deliberately limited so as define the extent of trust sought by an organisation in relation to its own and wider communities. Voluntary organisations, their communities and the public might find it helpful to recognise where distrust, rather than trust, is more appropriate.

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Paper Number: PA021218

Paper Title: Strategic Pricing in the Nonprofit Arts: A Case Study of Orchestra Behavior

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Summary of Research

This paper examines a natural "duopoly" in the performing arts. The economic model of stretegic decisionmaking is employed to ascertain whether these commercial nonprofits emulate the behavior of for-profit firms or whether, in a strategic situation, they behave differently.

Description

This paper explores strategic interaction among nonprofit orchestral organizations, drawing from the work of Throsby (1994), Liu and Weinberg (2001), and the vast literature on strategy among firms. Three different models are tested and compared:

- Profit maximization—do nonprofit orchestras behave like for-profit firms?
- Revenue maximization—given the preponderance of fixed and sunk costs, do orchestras seek to maximize revenues in strategic interaction?
- Attendance maximization—given their nonprofit missions, do orchestras seek to maximize attendance in strategic interaction?

The interaction is modeled as a simultaneous game, with reaction functions derived for each of the bulleted models above. Empirical tests utilize several years of attendance, pricing, and programming data, plus environmental information, for the two major professional orchestras in a single metropolitan area. A comparison test is applied to a nonstrategic situation, namely a professional orchestra in a medium-sized market area.

To my knowledge there exists no research that addresses this particular type of situation.

Paper Number: PA021483

Paper Title: The Impact of Combined Leadership Values on Organizational Values and Stakeholder Relations In Dual CEO Nonprofit Arts Organizations

Author(s):

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Summary of Research

This theoretical paper examines the effect of leadership values on organizational values and the influence on stakeholder relations. The focus is on dual CEO nonprofit arts organizations. Combining models developed in the descriptive stakeholder and arts literature, a framework with propositions is developed to provide further insight into this dynamic. Implications include a reframing of constructs rooted in the for profit oriented stakeholder literature for the nonprofit field, and a greater understanding of the common nonprofit tension between the quality of mandate and financial health through the lens of the dual CEO structure.

Description

Key words: stakeholder theory, leadership, arts organizations

CEO's of today's nonprofit organizations are always challenged to achieve strategic balance between a values related mandate and financial health. Meeting this challenge involves negotiated relations with community stakeholders, resource providers, and internal organizational stakeholders (Pfeffer and Salancik 1978, Tshirhart 1996). This paper examines how this dynamic may work in nonprofit arts organizations where the duality of objectives is often personified by two individuals who jointly function as the CEO.

Most nonprofit performing arts organizations formalize the inherent division of labor of these two objectives (the mandate or artistic focus and the financial management of the organization). The Artistic Director is or has been a performer, is respected as a creator or a teacher/director, interprets the organization's artistic positioning, and manages artistic production. The Managing Director has often trained (formally or on the job) in business management skills, provides the administrative leadership and, along with the Board of Directors, is the connecting point with resource-providing stakeholders for the organization (Peterson 1986, Heimovics, Herman & Jurkiewicz 1995).

As in any nonprofit corporation, the dual CEO's interpret their mandate and play out the tension between mandate and finances in a manner that is particular to the organization. In nonprofit arts organizations, the Artistic Director initially selects a range of programs to be offered to the public which reflects personal taste, interests and ambitions. This choice is subsequently modified to achieve a balance in light of the interests represented by the Managing Director (Peterson, 1986) and the large number of stakeholders engaged with these organizations. There is variance in influence on the mission and programming depending on the power, urgency, and legitimacy of the stakeholders (Mitchell, Agle, & Wood 1997). The extent of congruence between the organization's programming orientation and the stakeholders' interests can vary (Voss, Cable and Voss, 2000). Understanding this dynamic of congruence or conflict is strategic for the leaders of nonprofit organizations and should aid in the management of the organization's health.

Literature Context

The descriptive stakeholder literature (Agle, Mitchell, & Wood 1997, Frooman 1999, Agle, Mitchel and Sonnenfeld 1999, Wood 1994), work on cognition (March & Simon 1958), and some literature on organizational values of arts organizations (Voss, Cable & Voss 2000, Tshirhart 1996) are used.

External stakeholders can be very powerful and, thus, have some influence on the organization's values. Power, legitimacy, and urgency are three stakeholder attributes that have been identified to explain the variation in the nature of relationship between the firm and stakeholders (Mitchell, Agle, and Wood

1997). The attribution model has been extended through the use of a moderator of cognitive values held by the CEO: self-regarding or other-regarding (Agle, Mitchell and Sonnenfeld,1999, March & Simon 1958). This paper examines the effect when this moderating variable is applied to a nonprofit organization managed by a dual CEO structure.

Tshirhart (1996) provides interesting insights when stakeholders challenge mandate or business strategies of arts organizations. But the work done by Voss, Cable and Voss (2000) provides an explanation of these relationships by examining the nature of organizational values. Their research relates the quality of stakeholder relationships to the range of organizational values that have developed. This connection is very useful for an understanding of stakeholder relations in nonprofit arts organizations. The authors' discussion regarding future research ponders the cause of these values and whether they or the external relationships come first.

The combination of the two models is the basis of the framework developed in this paper (Voss, Cable and Voss 2000 and Agle, Mitchell, and Sonnenfeld 1999). The cognitive values of self and other regarding applied to the structure of dual CEO arts organizations provides a new filter with which to understand the resulting organizational values. This model may provide an answer to the question of cause regarding organizational values raised by Voss et al (2000). More importantly, it may provide a means to understand the nature of stakeholder relations with nonprofit organizations.

Analysis and Propositions

Agle et al (1999) argue that the leadership values have a moderating influence on how the stakeholders are perceived by the CEO in terms of urgency, legitimacy and power. In a for profit context self-regarding values are understood to favor the financial well being of shareholders' interests. Other-regarding would take a larger view of the situation and encompass other stakeholders in the business of the corporation.

In a nonprofit organization self-regarding could take one of two points of view. Either the value of mandate is considered as an exclusive priority of the organization, regardless of the impact, or the financial well-being is considered the major imperative with the effect that the balance of objectives in the organization could be compromised. Other-regarding could be thought of as a value that balances both in a respectful tension as well as maintaining a consideration for other stakeholders who may have concerns that extend beyond the particular world of the two objectives (eg. employee rights, larger economic ecological concerns, or recognition of "competitors" in the field).

When the two CEO's work together the dominant value would be self-regarding since it resides closest to one or the other of the important objectives of the organization hence deriving greater power. The product of this combination is a variation in organizational values as outlined by Voss et al (2000).

The paper explores the possible combinations of the self and other-regarding values in the dual CEO leadership in nonprofit arts organizations on organizational values. The author offers up a number of propositions that provide insight into the nature of the linkage between the three constructs developed in the literature: leadership values of other and self regarding, organizational values and stakeholder relations.

As Voss et al (2000) argued, the organizational values determine which stakeholders have congruent relations with the organization. The connection of leadership values with the organizational values provides a means of understanding how the leadership values might moderate stakeholder relations.

Discussion and Conclusion

There are other possible influences on organization's values such as its founding values, the longevity of tenure for the individual leaders, and the Boards perception of the need for congruence of values when selecting one of the leaders. The paper considers the relative merit of these explanations, and suggests that these constructs should be controlled when the empirical testing of this framework occurs.

For both nonprofit and for profit organizations stakeholder relations are important to sustainability. The values-driven nature of a nonprofit organization provides a more complex field in which to study these concerns.

Because stakeholder literature has been traditionally concerned with shareholder wealth, there has been little interest demonstrated in the nonprofit field. The reframing of constructs provided by this paper may open up a greater interest in the linkage between stakeholder and nonprofit literatures. Further, by viewing the tension between mandate and finances manifest in a dual CEO, the nonprofit field may understand more explicitly certain dynamics that may have been previously assumed.

In a practical vein, it may help nonprofit Boards of Directors to analyze their environment to determine their organization's leadership needs, whether they are hiring balanced CEO partners or a balanced individual CEO. And, for practicing CEO's it may provide insight into behavior that has generated great debate on the pros and cons of the usefulness of dual CEO'S.

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Paper Number: PA021572

Paper Title: Defining Arts Administration Education through State Arts Agency Programs and Practices

Author(s):

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Summary of Research

The amount and type of information now being required of SAA arts education professionals is linked traditionally to educational project proposals and supplementary curricula programs linked to K-12 education. When in practice, these Arts Education professionals have performed to varied and lesser degrees in the above capacities as teachers, project manager, etc. Increasingly, SAA arts educators include more technical assistance and learning opportunities as long-term objectives in their arts education programs and projects. Three to four panelists will make brief presentations to stimulate dialogue and opinions from audience members on arts administration education and its future professional requirements unfold.

Description

This proposed panel topic (or paper topic) is to provide researchers, arts education professionals and others whom they serve at State Arts Agencies with an opportunity to discuss the changing role in their profession. Many of these professionals now provide technical assistance in terms of grants development, project management, curricula development, staff development (teachers, interns, and assistants), marketing, fund development, ethnic and grassroots diversity, and cultural and public policy workshops as lifelong learning educational opportunities through their programs and services. The amount and type of information now being required of arts education professionals has traditionally being linked to educational project proposals and supplementary curricula programs linked to K-12 education. When in practice, Arts Education professionals at SAA have performed to varied and lesser degrees in the above capacities as teachers, project manager, etc. In a present wave of transitions, statewide, local and regional arts organizations, artists, and teaching professionals require more in-depth and varied information as they approach project management, designs, and evaluation into their project operations. Increasingly, SAA arts educators are having to include more technical assistance and learning opportunities as long-term objectives in their arts education programs and project designs. A developing foci on life-long learning coupled with experiential learning in the arts and in business practices is becoming a standard requests from smaller and grassroots organizations. Three to four panelists will make brief presentations to stimulate dialogue and opinions from audience members as this topic on arts administration education and its future professional requirements unfold.

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Paper Number: PA021377

Paper Title: Barriers and Opportunities to third sector European policy

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Summary of Research

This paper, based upon desk-based literature review of materials from social policy and third sector policy analytics, offers an overview of the emergence of Third Sector European Policy. It does so by firstly examining the barriers to policy making in this domain at the level of the EU institutions, and then noting a range of opportunities which work in the opposite direction. It is concluded that EU level policies will increasingly supplement the core competence for policy, which will remain at national and sub-national levels.

Description

The purpose of this paper is to begin to identify role that institutions at the EU level play now, and can expect to play in the future, in shaping third sector policy in Europe. The paper draws upon a small but steadily growing body of literature and policy documentation that is now becoming available and builds upon an earlier study which attempted to offer an initial take on the emergence of European third sector policy (Kendall and Anheier, 1999 [2001]). It seeks to identify and chart the barriers and opportunities that the EU as a multi level governance system faces in developing a response to third sector involvement in and around social policy. We identify some of the main factors that now seem to be impeding the further development of policy at the level of the EU institutions. These include the protectiveness of national policy elites towards policy making in the welfare state domains in which most third sector activities are concentrated; lack of clear incentives for development flowing from public opinion and the obvious direct interests of traditional workerist and political party stakeholders; acute collective action problems faced by third sector actors in seeking to act cohesively on the European stage; the highly constrained resource capabilities and difficult political climate faced by EU institutions; and a lack of shared trans-European concepts, definitions and vocabularies relating to the third sector

Set against this, however, we note a range of other factors working in the other direction to open up opportunities for EU level influence and involvement. Having underlined that by the turn of the new millennium, a policy legacy, albeit fragile and highly contested, had already begun to take shape despite the countervailing constraints noted above, we note that additional pressures are set to reinforce this inheritance. These include "knock-on" and "spillover" effects from other fields of policy, including labour market and fiscal policy, which are de facto relevant; the intensifying contest over the applicability and relevance of "market compatibility" requirements for third sector organisations in the European "single market"; the introduction of new regulations relating to the massive structural programmes, which recognise NGOs as potential sources of "social capital" in all Member States; and emerging research and practitioner networks sponsored by the EU are creating an epistemic community operational at the European level for the first time. These more "technical" issues are developing in parallel with new interest at the level of EU "High Politics". Not only the sector's traditional allies in the European Parliament, ECOSOC and low visibility segments of the European Commission, but also the European Commission more generally, and the European Council itself, are now portraying the third sector as a significant potential part of the "solution" to both specific high stakes social problems, including social exclusion and unemployment, and the EU's more general problem of systemic legitimacy (cf. in particular the Governance White Paper of 2001).

What is the net result? We conclude that the national and sub-national governments will continue to be the primary levels of the polity to which the third sector, and particularly its welfare core, relates for the foreseeable future. What is changing in the new millenium is that a range of de facto and de jure pressures are resulting in the emergence of a significant supranational policy dimension at the Brussels level, and through insertion at the Member State level. While not substituting for national third sector policy initiative, these new involvements increasingly complement and interact with it.

Paper Number: PA021458

Paper Title: Global Prevalence and Forms of Civic Service

Author(s):

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Summary of Research

This article summarizes results of a global assessment of civic service programs. The purpose of this study was to identify the range of service programs, including their incidence and prevalence, and to document their purposes, activities, servers, and operations. Formal, organized, intensive volunteering is an emerging phenomenon worldwide. Searching by every country in the world and using information from organizational memberships, publications, and the Internet, 208 civic service programs were identified and surveyed. These programs are located in 52 countries. Differences by region of the world and type of service program are examined. Implications are suggested for research and practice.

Description

Volunteer service is becoming a societal norm and behavior in countries around the world (Salamon & Sokolowski, 2001). Volunteering can take many forms, from informal social support networks in a village to occasional involvement in local or national causes to intensive commitments of time through formal volunteer programs. Along this continuum of volunteer behavior, relatively little is known about formal, organized volunteering or civic service-especially cross-nationally (Clohesy, 1999; Grantmaker Forum on Community and National Service, 2000; Sherraden & Eberly, 1990). The purpose of this article is to present findings from a global assessment of civic service programs. Based on this cross-national study, suggestions are made for the advancement of a comparative research agenda for studying civic service.

Civic service can be defined as an organized period of substantial engagement and contribution to the local, national, or world community, recognized and valued by society, with minimal monetary compensation to the participant (Sherraden, 2001b). The concept of "volunteer" is widely contested, with stipended and complusory forms of service commonly excluded (Brown, 1999; Carson, 1999; Canaan, Handy, & Wadsworth, 1996). This is why we use the term "service" instead of volunteering. Across the types of civic service programs, the individual is performing an action that is presumably of benefit to someone or some cause; the action is performed in the spirit of improving living conditions or general welfare (Menon, Moore, & Sherraden, 2002). However, there may be a token monetary award to cover basic living expenses or to offset expenses incurred during service, and the service behavior may indeed be required for the award of educational credit or to advance national objectives.

Service takes many programmatic forms, including service learning in educational settings, national service, international and transnational service, and elder, youth, and faith-based service. Across the types of civic service, participants are expected to provide service on an intensive basis and over an extended duration. Servers are expected to fill a formal role. The activities that they perform are clearly defined. To meet these expectations, training and supervision may be provided to the servers. Many service programs also include opportunity for reflection.

For any given country or culture, service policies and programs are created for different reasons, and they can produce multiple and varied effects. Service is recognized as a program strategy that may have the dual purpose of benefiting the servers as well as the served (Sherraden & Eberly, 1982; Wheeler, Gorey, & Greenblatt, 1998). For example, some national youth service programs in Africa have been developed with the intention of providing a mechanism for interaction across ethnic groups, so as to reduce discrimination and conflict (Omo-Abu, 1997). The outcomes of service programs can range from peace and international understanding to improved job skills and education to sustained civic engagement (Perry & Katula, 2001; Sherraden, 2001a; Sherraden, Sherraden, and Eberly, 1990). Still other service programs are developed with goals of improving the environment, public infrastructure and facilities, arts and culture, community development, human services, public safety, and assisting in disaster relief efforts (Eberly & Sherraden, 1990).

Development of a comparative research agenda on civic service should give equal weight to service program development, implementation, and assessment. A common knowledge-base depends upon consideration of the social, economic, and political differences across nations and cultures, and the testing of theories that inform and explain the differences. For example, it is plausible that few of these service opportunities would exist without a voluntary sector. Some programs are implemented by government, but the majority are developed and managed by nonprofit organizations. The advancement of civil society may, therefore, affect the status of service in any given country or region (Salamon & Anheier, 1998). Social origins theory is a promising perspective, which ties the development of volunteer opportunities to the political-historical context (Salamon & Sokolowski, 2001). An institutional perspective that focuses on the expectations, access, incentives, information, and support provided the servers may inform the implementation and longevity of service programs (Beverly & Sherraden, 1999; Sherraden, Morrow-Howell, Hinterlong, & Rozario, 2001). Finally, social-psychological, political, and community development perspectives may explain the effects of service on the servers and as well as the served (Janoski, Musick, & Wilson, 1998; Thomson & Perry, 1998).

Studying the emergence and effects of civic service across nations and cultures first requires that an empirical assessment of the incidence and prevalence of civic service be performed. No previous study has researched the scope of this phenomenon, nor has the concept been operationalized through documentation of the service role or the components of the programs. What is the geographic distribution and concentration? What forms do these programs take? What are their goals and activities? Who serves in them? How long do they serve? What structures support the service experience?

This study builds upon previous work that addresses the conceptualization, measurement, and study of volunteer and civic service (Clotfelter, 1999). Over the last decade, publication and research on volunteerism has increased substantially, especially in the United States (Perry and Imperial, 2001). Research in the United States has largely focused on service-learning, however, with some evaluations of national service programs (Grantmaker Forum on Community and National Service, 2000; Perry & Katula, 2001). Scholarship on civic service is only emerging in other countries, and is largely descriptive and attitudinal (Kalu, 1987; Sikah, 2000; Tuffuor, 1996). To inform the development of service scholarship, this study documents the scope of the phenomenon and identifies possible areas for future research.

This paper provides an empirical description of existing programs rather than an exhaustive catalogue. A restrictive definition of civic service was used for data collection, focusing on formal programs that require intensive commitments of time on the part of the server, e.g., at least one week full-time. Service-learning programs were excluded, because the commitment is usually not intensive. (This is not at all to say that service-learning is not important; only that it is not included in this study.) Searching by every country in the world and using information from organizational memberships, publications, and the Internet, a sample of 208 programs was identified and surveyed. The programs were surveyed via fax and email. These programs are located in 52 countries. An institutional perspective was used to inform questionnaire development, with a concentration on program structure, e.g., program sponsor, goals, activities, server eligibility and requirements, information provision, and supports for service delivery. The nature of the service role was captured, including the intensity and duration of the experience. Characteristics of participants were assessed, such as gender and age.

In the paper, summaries of key program data are provided. Differences by region of the world and type of service program are examined. International service programs are found to be the most prevalent type (86), followed by national youth service programs (34). Regional concentrations of service programs varied greatly from Europe and Central Asia (56) and North America (62) with the most, followed by Sub-

Saharan Africa (27), Latin America (25), East Asia and the Pacific (18), Middle East and North Africa (12), and South Asia (8). The average age of the 208 programs is 20 years. The median age is 13.5 years. These statistics may help support the claim that service programs are an emerging global phenomenon.

Programs differ greatly in their activities, which are largely contingent on the needs of the people, communities, and nations in which the programs are implemented. Recruitment, support structures, and reimbursement of the servers vary widely. Findings suggest that the presence of service programs for any given country may be positively associated with the status of the voluntary sector as well as the level of economic development.

Implications are drawn for research and practice. For example, given the prevalence of international service programs, future research should assess the positive and negative effects of international service on the peoples, nations, and cultures served. There are few studies of international service, and most are of programs sponsored by organizations in the United States (Cohn & Wood, 1985; Purvis, 1993; Starr, 1994). Across all the types of programs, there is a need for outcome-based research that examines the effects of the service activities specifically. Only 46 programs have any sort of evaluative structure. Beyond the effects on participants, do service actions achieve the intended effects, e.g., community and economic development, infrastructure construction, and disaster relief? Programs differ greatly in their administrative sophistication, which may be related to the age and status of the voluntary sector in the given countries, and critical evaluation of impact may be costly and difficult to achieve. Program designs and methods for tracking implementation are essential.

This systematic assessment lays an empirical foundation for studying civic service as an emerging institution around the world. The types, purposes, activities, servers, and operations are described and analyzed for an extensive sample of programs. Scholarship that explores the social, cultural, economic, and political influences on service development, implementation, and outcomes should next be developed.

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Paper Number: PA021578

Paper Title: Mission: civil society development. Raising nonprofit organizations and shaping nonprofitness in Hungary and Poland

Author(s):

Ms. Erzsebet Fazekas, Columbia University, Astoria, NY, USA

Summary of Research

This paper will analyze the phenomenon of civil society development in Eastern Europe as a strategic nonprofit activity executed by a select group of organizations. My comparative longitudinal analysis will study the social construction of nonprofitness and nonprofit sectors in Eastern Europe through the activities of nonprofit service providers or metaorganizations in Hungary and Poland. I will investigate the shifts in services and products offered by these organizations and the images of nonprofitness embedded in these products. I wish to explore whether the Polish and Hungarian metaorganizations have adopted a different service mentality in constructing and delivering their products.

Description

More than a decade ago the postsocialist project of democratization and civil society revival in the Eastern European region created the need for strategic civil society development as a mission and activity. Although the contemporary political rhetoric welcomed the concept of civil society mostly for its evasive quality to embrace a range of democratic, communitarian and liberal values (Cohen and Arato 1992), the project of civil society development took a more concrete form in Eastern Europe. Civil society development is generally equated with efforts to enhance the nonprofit sector, to encourage and facilitate the sustainability of nonprofit organizations and to form sectoral identity.

Although the history of voluntary organizations and charities in the region goes back to the 10th century (Kuti 1996; Les et al 2000), the modern nonprofit organizational form as defined by Lester Salamon and his school (Salamon et al. 1999) only appeared in the postsocialist era. I claim that the nature of the emergent nonprofit sector was shaped not only by the patterns of transformation and political institution building (Anheier and Seibel 1998), but also by the active participation of certain civil society building organizations.

Encouraged by Western expertise and financial incentives, civil society development became an institutionalized, strategic activity with a defined focus and scope executed by a select group of nonprofit organizations. I call these NPOs 'nonprofit service providers' or 'metaorganizations' because their goal is to enhance and coordinate communication and cooperation within the nonprofit sphere. As they invariably define their mission as "developing civil society", a group of these metaorganizations even forged a brand name: Civil Society Development Foundation. Typically, the constituency these unique NPOs serve is broadly defined as the entire nonprofit sector.

Strategic civil society development as a project was mostly initiated by Western actors who formed or encouraged the formation of these professional metaorganizations specialized to serve and assist other NGOs. (Siegel and Jancey 1992) These Western nonprofit researchers set the tone of the dominant and legitimate discourse and along with the emerging key players (nonprofit service providers and other members of the nonprofit elite), they also set the standards of how to develop civil society.

Not only did a general discourse surface through this assisted mode of sector revival, but specific strategies to enhance sector development were also outlined: information service, capacity building or network building among nonprofit organizations. Yet, local actors did not passively imitate Western models of civil society development. Services and products with distinct characteristics emerged in the Central European region shaped by their embeddedness in social relations and the institutional structures constraining actors in nonprofit sectors.

Through a longitudinal study of nonprofit service provision in Hungary and Poland, this paper will analyze the construction of postsocialist nonprofit sectors and the meaning of nonprofitness through the work of metaorganizations. This comparative analysis of constructing nonprofit sectors will supplement previous efforts to explain the nonprofit sector through quantitative data. (Salamon and Anheier 1996; Salamon et al. 1999) I will take a social constructionist perspective (Berger and Luckmann 1967) and regard metaorganizations as "merchants of ideas" who play a significant role in shaping the organizational universe of their respective third sectors (Seibel and Anheier 1990). They also greatly shape the civil culture of their nonprofit sectors through formalizing proper nonprofit conduct and providing "recipe knowledge" to other NPOs on how to be successful, accountable or sustainable.

Nonprofit service providers, however, tend to differ in their definition of "civilness" or "nonprofitness", thus legitimating their own existence as agents that enable organizations to appropriate proper values. Each powerful actor or group of actors tend to represent and espouse different paradigms that define the nature of a good nonprofit organization and what constitutes a good practice to develop civil society. Through their fund-distribution, information dissemination and training activities metaorganizations produce narratives and standards that can be used to legitimate their own practices and products. Though these organizations' missions are similar - to enhance the nonprofit sector - they are also competitors in carving out niches that advances their legitimacy and market position. Thus they compete to set the standards or the nature of "nonprofitness" or "civilness", that is, they compete to define the field and who are the legitimate actors within it. (Bourdieu 1977)

My field research in Hungary and Poland and qualitative interviews with members of the nonprofit elite revealed an intricate mechanism of labor division among these nonprofit service providers and showed that the level of competition and the mode of service provision is different in Hungary and Poland. I will investigate the shifts in services and products offered by these organizations and images of proper nonprofitness embedded in these products. In my comparative surveying of these nonprofit sub-fields I wish to explore whether the Polish and Hungarian service providers have really adopted a different service mentality in constructing products and providing services to their sectors. For instance, I will investigate whether the products are co-constructed by several agents or the projects are administered by individual organizations. I will see whether differences in sector-government relationships, fundraising strategies, resource distribution and other institutional factors explain alterations in modes of service provision.

This historical-comparative research applies a multi-methodological approach that combines qualitative research techniques with those of institutional analysis. Ethnographic findings and in-depth interviews conducted with a random sample of Hungarian and Polish nonprofit service providers will supplement the statistical data for an industry-level comparative analysis of this sub-field of nonprofit sectors.

Key words: comparative analysis; civil society; civil society development; nonprofit service provision; nature of the nonprofit sector; nonprofitness; Eastern European nonprofit sectors; Hungary; Poland; social construction.

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Paper Number: PN022170

Paper Title: Session 2: Presenting the Practices of Congregational Development for Non-profit Developers

Author(s):

Reverend Eric Clay, First Congregational Church, Cornell University, Ithaca, NY, USA

Description

This is a CGAP, two-session panel. See description for Session I: Presenting the Practices of Congregational Development for Non-profit Developers

Paper Number: PN022170.1

Paper Title: Divergent and conflicting meanings of ôCongregational Developmentö:

Author(s):

Dr. Peter Hall, Harvard University, Cambridge, MA, USA

Summary of Research

This a case-based paper on board/staff (clergy/vestry) relationships in defining development objectives for a local congregation. The paper explores the ways in which vestry lay leader ideas about financial management interact and often conflict with colleagues who operate in traditional governance mindsets and with clergy. Clergy may side with the new financial management approaches or with traditionalists, depending on circumstances. What emerges from the conflict is that the desire to grow a congregation may mean very different things: financial, spiritual, and demographic (size and diversity).

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Paper Number: PN022170.2

Paper Title: Forming a Career in Congregational and Non-Profit Development

Author(s):

Reverend Alvin C. Hathaway, ACH Associates, Pennsylvania Avenue A.M.E. Zion Church, Baltimore, M

Summary of Research

This paper describes and analyzes how training, literature and educational resources inform a 25-year career in local, faith-based development work. This work spans many types of congregations as they relate to community development: sanctuary churches, civic churches, evangelical churches, and community empowerment churches. The paper will also examine a range of congregational development cases from supporting soup kitchens to sponsoring comprehensive community development initiatives. A critical examination of some current literature and personal stories of congregational development will clarify the awkward relationship of congregational development and community economics.

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Paper Number: PN022170.3

Paper Title: The Local Congregation as a Nonprofit Organization:

Author(s):

Dr. Don Francis, Lakeland College, Plymouth, WI, USA

Summary of Research

The fields of congregational development and nonprofit organizational development have largely grown independently of each other. Yet the similarities of the local congregation and nonprofit organization in purpose and function are both numerous and profound. This research reviews the consultant and practitioner literature covering several models of congregational development for the nonprofit organization community. The nonprofit organization community can learn from and draw its own inferences from this review of the local church development literature.

Description

The fields of congregational development and nonprofit organizational development have largely grown independently of each other. Perhaps for anticipating their respective unique audiences the literature of both fields rarely mentions the other. Yet the similarities of the local congregation and nonprofit organization in purpose and function are both numerous and profound. It is the purpose of this research to review the literature covering several models of congregational development for the nonprofit organization community.

The mission-defined congregation model is often found engaged in a struggling urban community assessing the social, economic and spiritual needs and developing its programs and structures in response. Tyrone Gordon, Carlyle Stewart and Rev. Kirbyjon Caldwell lead such congregations in Wichita, Detroit and Houston respectively. It is not unusual to find the writings of Lyle Shaller and others available in such settings.

The evangelical mega-church of Korea and America casts itself in the role of a teaching church. This model has been successful at church growth and expansion by focusing primarily at attracting and involving new members. Teams of people visit teaching congregations such as Willow Creek Community Church in suburban Chicago and the Church of the Resurrection near Kansas City for inspiration and training in starting or transforming their own remarkably similar yet independent “franchise” congregations.

The functional model of congregation differentiates the functions of small, family-based churches and large downtown churches. Qualities shown to be correlated with the success of these different systems are identified and plans are made to develop the appropriate qualities in the structure and life of the congregation. Kennon Callahan is among the champions of this model.

It is hoped that the nonprofit organization community can learn from and draw its own inferences from this review of the local church development literature.

Paper Number: PA021305

Paper Title: Third Sector Managers, HRD, Values and Ethics

Author(s):

Dr. Rona S Beattie, Glasgow Caledonian University, Glasgow, UK

Summary of Research

Within the third sector people management skills have been identified as a significant training need for third sector managers (SCVO, 1999), yet there is little HRM research into the sector (Cunningham, 2001).

This paper focuses on ethical and human-centred approaches to HRD within the context of two large human services NPOs.

This empirical study explores whether NPO managers support ethical development. The role of the social care model of supervision is explored as a framework for 'ethical helping'.

The findings reveal the strengths, and limitations, of ethical development. Finally lessons in ethical HRD are identified for NPOs.

Description

Third Sector Managers, HRD, Values and Ethics

There has been increasing recognition of the devolution of Human Resource Development (HRD) responsibilities to line managers (e.g. Cabinet Office 1993; Bevan and Hayday, 1994; Heraty and Morley, 1995; Ellinger et al., 1999; National Skills Taskforce, 2000). Indeed Salaman (1995) argues that the central role of the manager is to "to support the management of performance or the management of learning" (p5). However, there has been little empirical research into the role of line managers as developers (Mumford, 1993; Ellinger et al., 1999) and therefore we have little understanding of the managerial behaviours that facilitate learning, nor can we be clear about what development managers need to support them in their developmental roles.

Within the third sector people management skills have been identified as one of the most significant training needs of third sector managers (SCVO, 1999). A key people management role is the active development of staff, heightened by the constraints on many NPOs to fund formal forms of staff development (Harris et al., 1989; Beattie et al., 1994). HRD is of growing importance in the sector given the increasing employment opportunities created by NPOs. For example, within the European Union there are nearly 19 million full-time paid jobs in the third sector. The third sector is therefore a major employer; yet in comparison to the public and corporate sectors there has been limited HRM research carried out into the sector (Cunningham, 2001).

The paper focuses on ethical and human-centred approaches to HRD within the context of two large NPOs specialising in providing human services. Both organisations stress the value of human-centred approaches to social care with an emphasis on person-centred planning for each individual service user. In addition, both organisations have aspirations to become learning organisations.

Previous explorations of HRD and ethics have tended to focus on those HRD interventions led by HRD professionals (e.g. Woodall and Douglas, 2000; Hatcher and Aragon, 2000; Beattie and McDougall, 2002). This paper builds on that work but focuses on the key role of the line manager in supporting work-based learning. This paper is part of a wider study that examines the behaviours of managers that facilitate and inhibit workplace learning within the third sector. As part of that study organisational values and learning climate are explored and a key question is whether or not the human-centred approach to social care is transferred to the learning and development of employees?

Two possible paradigms may emerge. Firstly, that NPOs do not transfer their high ethical values and the emphasis on the individual from their social care practice to their HRD strategies and practices. The second is that there is a transfer from the person-centred planning approach in social care practice to HRD. Indeed it could be argued that it would be untenable to have HRD strategies that did not take cognisance of ethics and the value of the individual, as the effective delivery of care requires the effective development of employees.

This research study has adopted a phenomenological approach utilising a period of ethnographic immersion and in-depth interviews with 60 respondents representing four stakeholder groups: basic grade employees, first line managers, senior line managers and HRD specialists. Their perspectives on the impact of organisational variables in workplace learning are explored including the organisation's culture, learning climate, strategies and operations, as learning is not solely dependent on formal HRD activities.

This research study therefore explores whether managers within NPOs can be classified as 'ideal helpers' (Tough 1979) supporting ethical development which requires "considerable respect for individual privacy, self-esteem, dignity and autonomy" (Woodall and Winstanley 2000, p.284). In particular the role of the social care model of supervision is explored as a framework for 'ethical helping'.

From this empirical study evidence does emerge that a human-centred approach to HRD is present within these organisations. However there is also evidence that ethical tensions are present, for example do NPOs have a right to try and instil their organisational values into the mindset of individual employees? Finally, key lessons in ethical HRD are identified for the third sector organisations.

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Paper Number: PA021457

Paper Title: Employee-Employer Dynamics in Corporate Community Service Programs

Author(s):

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Dr. Lynda St. Clair, Bryant College, Smithfield, RI, USA

Summary of Research

Our paper tests hypotheses on the dynamics of corporate community service programs in three companies each with 300-500 employees. The concept of corporate community service includes corporate philanthropy and corporate volunteerism. The paper has broad practical implications for employee recruitment, orientation, management, and empowerment. It also provides guidance on how to effectively manage a corporate community service program using data from organizations that have been recognized for their excellence in this area.

Description

Our paper examines dynamics of corporate community service programs in three companies each with 300-500 employees. The concept of corporate community service includes corporate philanthropy and corporate volunteerism. The companies are winners of the Points of Light Foundation's Award for Excellence in Corporate Community Service which honors companies that make corporate philanthropy and volunteerism a central part of their operations. The companies vary in their degree of unionized employees, workforce professionalization, geographic domain, and industry.

The paper reviews the numerous types of corporate community service activities and corporate community service programs. It then examines the following research questions: Are there differences among subsets of employees in expectations, awareness, and reactions to their workplace's corporate community service programs, and if so, what explains the differences? How does the nature of the integration of corporate community service into the company's human resource management practices affect the expectations, awareness, and reactions of employees to the corporate community service programs?

We map who in the companies are involved in the service activities, and uncover motivations and understandings of this involvement. The paper has broad practical implications for employee recruitment, orientation, management, and empowerment. It also provides guidance on how to effectively manage a corporate community service program using data from organizations that have been recognized for their excellence in this area.

The conceptual base for our study is the social and psychological contracts (Rousseau, 1995, Psychological Contracts in Organizations, London: Sage Publications). The psychological contract is the implicit contract between employee and employer specifying what each expects to give to and receive from each other. The social contract is broad beliefs in obligations associated with a society's culture. Additional theoretical support is provided using theories on motivation, power dynamics, and organizational structure. The paper reports results of hypothesis tests.

The data for the study reported in the paper is drawn from written surveys to all employees of each company and interviews (phone or in-person) with key informants. The study builds on the authors' training in organizational behavior and human resource management, and their prior joint and independent projects on the topic of corporate community service.

Much of the literature on corporate volunteer programs and corporate philanthropy has focused on making a business case for corporate community service. Scholars have examined the impact of corporate community service on reputation and financial indicators of performance. The literature also offers arguments that corporate community service programs can positively impact employees' performance, skill development, teamwork, retention, morale, and satisfaction with the ultimate result in a better bottom line for the corporation. What is largely missing is attention to the employee perspective on corporate community service and the human resource management implications of corporate community service. Our paper helps fill these gaps.

There is a large body of "psychological contract" literature that examines how perceived obligations of

employees and employers affect employee retention and commitment. The obligations studied are largely limited to pay, training, loyalty, job security and other aspects of the employment relationship that do not directly address corporate community service. Yet, employees are integral to the success of many corporate community service programs. For example, it is employees who contribute to workplace giving campaigns, provide matching gift information, honor requests of their employer to serve on non-profit boards, and participate in service activities organized by their employers. Our study helps us understand if employees see these obligations as voluntary acts or implicit obligations associated with their employment. We also examine whether employees believe employers have certain obligations related to corporate community service. For example, it is widely accepted in society today that corporations should make philanthropic contributions to support their communities. We report employees' perceptions of employer obligations. Our work expands the traditional psychological contract instrument to include items related to corporate community service (capturing obligations of both employees and employers).

Keywords: corporate philanthropy, corporate volunteerism, psychological contract

Paper Number: PA021536

Paper Title: A Tale of Two Cities: How human resources are managed in selected Canadian nonprofits

Author(s):

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Summary of Research

Summary
This paper looks at human resources management of paid staff in major nonprofit and social service organisations in Edmonton and Halifax - two disparate communities -- one in western Canada and one on the Atlantic coast. Various aspects of human resources management will be explored, in both the unionised and non-unionised environments.

Description

In Canada, like other developed countries, the state is devolving more and more of the management and day-to-day delivery of work in the human services to agencies and organisations beyond the sphere of government at the national, provincial and local levels (Hall and Reed 1998, Deakin 1995, Lipsky and Smith 1993). Like many decisions, this can be seen as good and bad. More local or independent control of public services could mean improved services, more creative and hands-on styles of management and less bureaucracy. On the other hand, without the professional managers in government, without paid staff bound to jobs because of specialised training and career commitment, and without the financial and political accountability built in to the public services -- retaining quality or consistency could prove difficult. □□□□□
The important question becomes who will provide these services? The answer, increasingly, seems to be the informal sector (friends and families) along with voluntary organisations. But the informal sector is only as strong and reliable as the families and the community are (Johnson 1981). It is clear that this kind of help can change or even vanish depending on the resources of families or the community -- so there are limits on what the informal sector can take on. Do voluntary organisations have the expertise, the structure, the trained staff and the ability to perform vital social services?

In Canada, there are more than 175 000 voluntary organisations and more than 78 000 registered charities (Government of Canada/Voluntary Sector Joint Initiative 1999). Private for-profit and non-profit organisations are overtaking government provision in some areas of social services. This paper looks at issues that arise from a study of management in two major voluntary organisations in two disparate Canadian cities. Metro United Way operates as a community chest for Canada's largest Atlantic centre, Halifax. It raises money from donations in an annual fund appeal which is then divided among 42 member social service agencies. The Edmonton City Centre Church Corporation (ECCCC) is the major non-denominational charity based in Edmonton, Alberta, a large western city. ECCCC is a central body which funds and operates a myriad of social service projects in that city.

Both communities have a long history of voluntary organisations serving their populations. Both communities have gone through economic "boom and bust and boom" cycles quite recently. The paper will examine recruitment and selection, training, opportunities for advancement, absenteeism, turnover and dismissals and the implementation of equity programmes in four matched voluntary organisations in each city.

There is a large body of human resources theory and technique which for-profit employers apply to managing their employees more professionally and effectively. However there is no such body of resources for those in the nonprofit sector. This paper will address the following questions:

1. To what extent do voluntary and nonprofit employers try to apply the traditional human resources management theory and techniques and to what extent do they "fly by the seat of their pants"?
2. If nonprofit employers do apply HRM less thoroughly than their for-profit counterparts, what are the consequences for the organisations? In which area of HRM is this disparity most evident?

3. In what way does the presence of volunteers impact upon HRM in nonprofit and voluntary organisations?
4. When voluntary sector employees unionise, are the causes and effects different than in the for-profit sector?

Data for this research was gathered from onsite semi-structured interviews with key informants in selected nonprofit organisations in Halifax and Edmonton. This paper builds on my doctoral thesis research which compared human resources management in selected British and Canadian nonprofit organisations. My plan is to publish an article which is based on this comparative work.

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Paper Number: PA021212

Paper Title: Contemporary Settlement Houses, Corporatized Social Services, and Community Building Practice

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Professor Michael Fabricant, Hunter College, New York, NY, USA

Summary of Research

While media pundits attribute the limits of community-based nonprofits to personal malfeasance, corruption, and a lack of accountability, our study of 100 directors and staff of community-based service delivery programs (settlement houses) in New York City in the late 1990s emphasizes the structural dimensions of the problem. Our interviews reveal formidable pressures, barriers, and constraints in the contemporary political economy of nonprofit financing, which undermine service delivery and community connection. We conclude that community-building must be restored to nonprofit social service work, in order to improve service delivery and build relationships which can challenge contemporary constraints.

Description

Keywords: community building, community-based nonprofits, political economy, social service delivery.

While the media blames the limits of community-based nonprofits on corruption, personal malfeasance, and the lack of accountability, we contend that the limits of nonprofits rests in the contemporary political economy and transformation of the social services. We also propose that community-based nonprofits will only be effective service providers if they adopt community building as central to their work and mission.

Nonprofit agencies are being corporatized by government contracts that increasingly demand social service provision reflecting best business practices. A tension exists between the drive to privatize every aspect of American life and the demands associated with sustaining the polity, creating civic engagement, building community and social cohesion. This tension rests at the center of the recreation of organizational life for nonprofit social services.

Contemporary government contracting with nonprofit agencies promotes a corporate or business approach to the provision of services. Agency efficiencies, productivity and outputs receive greater and greater attention. Activity that can be quantified and analyzed in terms of per unit cost receives priority. The intention is to create analogs between nonprofit and corporate measures of productivity. The tension for nonprofit social service agencies, however, is not only that such structural constraints limit service provision and agency autonomy but that they do not even consider the qualitative demands and process requirements of forming relationships with community residents. This aspect of service provision is given short shrift because it is more complex, less amenable to quantification and relatively inefficient. For instance, it is far easier to document the number of children served or to calculate test scores for participants in an enriched component of a school program than to assess social networks and or relationships that evolved from such services. And yet it is precisely the latter outcomes that are most central to replenishing the social capital of neighborhoods and to enabling people to capitalize on the services they receive.

As Smith and Lipsky note, contemporary changes in the structure of government financing of nonprofit services extends beyond the redefinition of performance measures. (Smith and Lipsky, 1993). Agencies are also being required contractually to do more and more with fewer resources. Consequently, encounters between workers and consumers are ever more rushed, circumscribed and harried. Neither the needs of the worker nor the service user can be met under such conditions. Importantly, the intensifying demands of the service exchange inevitably leads to both the consumer distancing herself from the agency and staff burnout. Cumulatively, these externalities of contracting further undermine the ability of settlements and nonprofit social services to build the kinds of relationships with and between neighborhood residents that are an intrinsic property of social network. Our study builds on existing knowledge on contracting and community building by (1) linking the two, (2) emphasizing the role of community building in effective service delivery, and (3) underscoring the potential, as well as the limits, of contemporary community-based nonprofits.

We propose that community building may well be the most important social service work of the next generation. At least it must be understood as integral to effective social service provision. Yet, the very structure of government contracting limits the capacity of not for profit agencies to engage in such relationship building work. This is especially ironic for settlement houses whose historic record and present mission is synonymous with the work and intention of community building. The intersect between government contracting the shifting meaning of social services and the centrality of community building remains relatively under explored. This dynamic set of relationships however, are essential to understanding the historic contribution, present circumstance, and future possibility of nonprofit social services. This article is devoted to exploring these themes.

At the turn of the century settlements were instrumental in establishing a legitimacy and presence for social service in the poorest neighborhoods. The settlement remains a historic referent point for the broadest intentions of social services to meet individual need while simultaneously working to advance the more collective interests of poor communities. The settlement house at the turn of the century engaged in various kinds of community building projects. It's work extended from small groups or clubs to coalitions, all intended to help members through promotion of community and broader social change in housing, health, employment and public space. Much of the landmark legislation of the Progressive era can be traced to the work of settlement leaders such as Jane Addams, Lillian Wald, and Florence Kelly. This broad change effort rested on the deep and extended social networks that evolved from settlement social service work. The best settlements' work of this period organized social services to promote both individual and collective benefit. Delivery of services, building community and promoting social change intertwined. Fragmented communities needed services but effective services necessitated communal supports. Citizen development required both. Clearly, not all houses were as inclusive of all neighborhood residents or interested in promoting collective or social capital projects. However, the premier settlements of the Progressive era are generally regarded as quintessential social service community building agencies and social change organizations. A century later the settlement house and more generally nonprofit multi service agencies continue to be viewed as central to the work of strengthening very poor communities. Now they are front line grass roots institutions with a mission to respond to immediate crises (AIDS, homelessness, delinquency, drugs etc) and chronic problems (under and unemployment, deficient housing, under performing schools) of very poor areas. For a variety of reasons, however, these agencies often emphasize delivery of individual not collective services. Problems are addressed at best one to one, neglecting network development and broader change initiatives. Some authors have charged that social service agencies and social work have abandoned their more collective or community building role. (Specht and Courtney, 1994) This is especially disappointing when a broad cross section of very poor communities are in desperate need of strengthened social networks. We argue that the structure of government contracts upon which settlement houses and not for profit social services are increasingly dependent represents a large part of the obstacle to creating such relationships and network.

The Study: One hundred agency administrators and program staff of ten settlements were interviewed during the course of a recent qualitative study. Approximately, three quarters of the study sample was drawn from the ranks of program directors. This particular subgroup was targeted for selection because of the breadth of their practice role(s). The program directors of settlement houses daily straddle administrative function and the provision of direct services. They are uniquely situated to comment on the broadest range of practice experiences and tensions salient to settlement house life and community based nonprofit service provision.

Conducted between 1995 and 1996 the study reveals a particularly critical moment for social services nationally and in New York City. The Contract With America promulgated by Republicans in Congress during this period endorsed wholesale cuts in social services and entitlement programs. This neoconservative agenda trickled down to New York State and City during the mid decade gubernatorial and mayoral elections of both George Pataki and Rudy Giulianni respectively. Consequently, nonprofit social services in general and New York settlements more specifically, were faced with the triple threat of reduced funding from every level of government-city, state and federal. This broad attack left agencies in an essentially untenable position; they had no sector of government to appeal to for relief. This public rebuke offers a particularly vivid case example of how not for profit social services fare during an era of cutback, retrenchment and heightened administrative supervision. Surviving in highly conservative private eras has been an integral part of settlement history. Once again their flexibility and persistence has gotten them through a particularly troubled moment. But the data and results of this study are not limited to that time and series of events. Unfortunately, the privatization momentum of the mid 1990s has not slowed. Both George Pataki and Rudy Giulianni remained in office through the 1900s and into the next millennium. Additionally the contracting climate that New York City not for profits continue to face is consonant with national trend. Therefore, lessons can be drawn from this analysis that extend beyond the boundaries of NYC and the time frame of the mid 1990s. The settlement house remains under siege and the era of privatization and corporatization virtually unchanged and unchallenged.

This presentation concludes with prescriptions for community building and revisioning the role of social service provision in the community building process. It synthesizes the existing literature on contemporary funding practices and community building, and goes beyond both by linking political economy and community building and by proposing alternative means of community building for community-based social service organizations.

Paper Number: PA021565

Paper Title: Commercialization in Community-Based Development Organizations

Author(s):

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Summary of Research

The rise of community-based development organizations (CBDOs) demonstrates a bottom-up approach to address community needs and revitalize local economic development. The purpose of this paper is to systematically investigate several important research questions related to management of commercial activities in CBDOs and provide useful implications to other non-profit CBDOs, philanthropic organizations and governments that finance. This paper will adopt in-depth case studies to explore the impact of commercialization on CBDOs' resource structure, organizational governance, and financial stability and provide managerial implications to enhance the effectiveness of CBDDs.

Description

Urban poverty, economic decline, and street crime significantly endanger the quality of life in many U.S. inner cities and poor communities. The rise of community-based development organizations (CBDOs) demonstrates a bottom-up approach to address community needs and encourage citizen participation. Th purpose of this paper is to systematically investigate several important research questions related to management of commercial activities in CBDOs and provide useful implications to other non-profit CBDOs, philanthropic organizations and governments that finance. Many scholars (Fredericksen and London, 2000; Rubin, 2000; Stoecker, 1997) have discussed the strengths and weaknesses of community-based development organizations in implementing governmental contracts, addressing urban problems, renewing the economic base of inner cities, and operating commercial ventures. Rubin (2000) indicates that commercial ventures may divert CBDOs' missions and cause financial vulnerability. This paper will further explore the impact of commercialization on CBDOs' resource structure, organizational governance, and financial stability.

This paper will adopt in-depth case studies to collect research information and analyze the research findings. The use of case study method allows for a deep investigation of inter-organizational relations, resource structure, and managerial decisions that influence commercial activities within CBDOs. This study also uses a wide variety of data sources to supplement in-depth case studies. The author will collect organizational documents such as annual reports, internal publications, financial statements (Form 990), and grant reports. This secondary information will help this study to better analyze how CBDOs plan and develop a commercial venture.

The author will discuss the research findings by using an analytical framework that the author designs for classifying different ventures operated by CBDOs. The author also will address to what degree external and internal environmental factors may affect the commercialization of CBDOs and compare how CBDOs use different responsive strategies to deal with these managerial challenges. Finally, the author provides several managerial implications to discuss how CBDOs can appropriately manage mission conflicts, financial vulnerability, and legal liability when they engage in commercial activities.

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Paper Number: PA021609

Paper Title: Local Community and Corporate Philanthropy: Macroeconomic Impacts

Author(s):

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Summary of Research

Research on corporate philanthropy provides important information on the trends, patterns and rationales for corporate giving. Both the theoretic and empirical literatures examine factors that "crowd-out" or even "crowd-in" corporate giving. However, this literature focuses almost entirely on firm-specific factors, is biased toward larger corporations and cities and neglects to look at giving on a local level. This paper enriches the literature on corporate giving by examining the local impact of two, specific macroeconomic phenomena -- the recession of 2000-2001 and the September 11th national tragedy -- on corporate giving, local nonprofit agencies and a small Midwestern community.

Description

Research on corporate philanthropy provides important information on the trends, patterns and rationales for corporate giving. There is both theoretic and empirical literature that examines the factors that "crowd-out" or even "crowd-in" corporate giving. However, this literature focuses almost entirely on firm-specific factors and is generally biased toward larger corporations (Webb, 1996a, 1996b) and cities (Burke, Logsdon, Mitchell, Reiner, & Vogel, 1986) and neglects to look at giving on a local level. This paper aims to enrich the literature on corporate giving by examining the local impact of two, specific macroeconomic phenomena -- the recession of 2000-2001 and the September 11th national tragedy -- on corporate giving in a small Midwestern community

Despite its growing importance, research on patterns of corporate giving is still limited. Wolch (1995) offers a profile of the corporations that contribute to charity and concludes that the manufacturing sector has traditionally and continues to be the sector that contributes most to charity. Some researchers have highlighted the importance of "size" (Maddox, 1981), but other studies indicate that smaller companies often give a larger percentage of their income to charity (Troy, 1982).

Several motivations have been proposed for corporate giving. Johnson (1966) and Wolch (1995) offer profit maximization and social responsibility as the most important reasons. Lerner & Fryxell (1994) tie together CEO stakeholder attitudes and corporate social activity. The profit motive implies that corporations give charitable contributions in order to minimize the after-tax cost of a given contribution. An extension of this profit-motive concerns itself with owner-manager philanthropy. Owners or managers who are company stockholders save by replacing some dividend payments with tax deductible giving through the corporation. Otherwise, owners or managers would have to make charitable donations out of post-tax dividends and income (Maddox, 1981). The social responsibility motive suggests that corporations are obliged to work for "social betterment" by maintaining community relations through financial support, contributing to humanistic efforts, expressing environmental obligations, and ensuring consumer rights (Davidson, 1994). With cutbacks in government funding and decentralization of its programs, private nonprofit organizations assume greater importance in many vital areas of society. With reduced government support comes increased demands for nonprofit services, making increased efficiency and effectiveness essential for their future (Drucker, 1990).

The literature on corporate giving suffers from its neglect of macroeconomic variables. In particular, none of the models of corporate charity consider the effect of the business cycle and/or exogenous shocks on the level of charitable giving. Also, few authors have examined corporations from a local perspective, and then mostly in the larger metropolitan areas (Burke, Logsdon, Mitchell, Reiner, & Vogel, 1986). This study seeks to bridge these gaps by conducting a local-level examination of corporate giving in the current climate -- a post September 11 economy that is also suffering from a recession.

The current macroeconomy -- a shaky economy and the national tragedy--have made the current environment a precarious one for local charities such as the United Way and the nonprofit agencies it supports. The influence of these two forces could be direct or indirect. In the present economic

environment, the post September 11th generosity,
which has been widely reported in the popular press, may end up cannibalizing contribution to key areas, such as health and education (Lavelle & Prasso, 2001). The Columbus Dispatch reports that Columbus, Ohio, are residents donated $50,000 to NYFD Squad 41's families alone (Final Remains, 2002). Although it is important to study this direct/indirect impact on a national level, a local level analysis which is remote from the immediate aftermath of the September 11th attacks would better highlight the relative importance of macroeconomic factors since impacts may be more directly identified and explained and local nonprofits may be even more dependent than national organizations on giving from their local corporations.

This study looks at the corporate giving experience of the United Way of Hardin County, Ohio. This is a small, rural county in Northwestern Ohio. The annual pledge campaign for this United Way took place in the October to December, 2001 time period to solicit pledges of contributions to support the United Way agencies during 2002. Total actual business contributions to the United Way of Hardin County were obtained for the period 1997 through 2001. Additionally, total actual business pledges to the 2002 campaign were obtained. We propose to compare actual pledges to forecasts of what could have been expected had the recession and shock to the economy not happened.

Based on the results of our comparison, we will draw conclusions about the macro-effects of the recession and the September 11th attacks, if any. We will discuss the implications of our conclusions for local communities, the limitations of our study and suggest areas for future research.

Paper Number: PA021631

Paper Title: This is How We Can Assist You: Community Foundation Support for Community Development Corporations

Author(s):

Dr. Jeffrey S. Lowe, Jackson State University, Jackson, MS, USA

Summary of Research

This paper describes and assesses the community development efforts of three community foundations: the Cleveland Foundation, Greater New Orleans Foundation and Dade Community Foundation. The main question this research addresses, utilizing qualitative methods, is "How do community foundations facilitate capacity building and empowerment through their assistance to community development corporations (CDCs)?"

The research findings from these three cases cannot be generalized to all community foundations participating in local community development, although some similarities exist among the sites. The paper offers policy recommendations for community foundations interested in offering support for CDCs and urban revitalization.

Description

Securing and leveraging resources from government, corporations and foundations are critical to Community Development Corporation (CDC) capacity building and success. Failure to leverage the appropriate level of support can result in CDCs becoming undercapitalized, unstable and unable to facilitate community control. Meanwhile, their mission of community control of urban revitalization will often threaten their benefactors who tend to uphold the status quo. CDCs, therefore, must contend with the conflicting demands of building capacity to empower residents both individually and collectively while maintaining the approval of outside funders.

Community foundation assistance is likely to play a greater role in explaining future CDC capacity, activities and successes. Although private foundations make up the largest segment of philanthropy, community foundations have undergone the most substantial growth in recent years. Moreover, community foundation leaders contend that because community foundations are public charities, they maintain a higher level of accountability and an enhanced ability to influence community empowerment than private foundations (Covington 1994). The primary question this paper addresses is how has community foundation support affected CDC capacity building and empowerment activities.

Some scholars suggest local philanthropy as a means for achieving community empowerment (Stoecker 1991, Dreier 1997). However, research findings by the National Committee for Responsive Philanthropy (1994) suggest that many community foundations make very few contributions towards furthering empowerment. It is within this context that some community foundations have demonstrated increasing interest in developing strategies that foster public and private sector engagement in building CDCs capacity to satisfy community need.

The paper offers case studies of Cleveland Foundation, Greater New Orleans Foundation and Dade Community Foundation involvement in local community development. The main question this research addresses is "How do community foundations facilitate capacity building and empowerment through their assistance to CDCs? Sentiments about community foundation support or influence upon CDC activity captured from person-to-person interviews with CDC staff and community foundation personnel and board members are included, in addition to secondary data documenting the character and activity of community foundation assistance to CDCs.

The literature remains scant in regards to the relationship between community foundations and CDCs. However, both policy makers and practitioners are concerned with identifying opportunities to support community development in light of shrinking government assistance. Community foundations, often in collaboration with the public and private sectors, are a primary source of support targeted to encourage

CDC activity and move the community development field forward in a sustain way. The paper's findings expose opportunities and challenges vested in assumptions concerning community foundations efforts that may have altering effects on CDC processes and subsequent community empowerment.

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Key Words:

Collaboration
Community Foundations
Community Development Corporations
Community Development
Public Charity

Paper Number: PA021185

Paper Title: Commerce and Culture: Testing Commercialization Theories at the Organizational Level

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Summary of Research

The paper analyses the development of commercial activities of 15 museums over an 11 year period from 1989 to 1999. We use this data set to test prevailing theories about managerial preferences in making decisions about commercial activities in nonprofits.

Description

Although fees, charges and other forms of earned income have long been a mainstay of nonprofit financing all over the world, the question of whether nonprofit institutions are becoming increasingly commercialized has been gaining in importance only over the past decade. Commercialization theory is beginning to develop (e.g., Weisbrod, 1998; Herman and Rendina 2001), but there remain a large number of unanswered issues. For instance, there has been hardly any research on the actual efficiency of commercial activities: It is generally assumed that nonprofits engage in this activity to cross-subsidize their core service provision, but whether commercial activities actually do generate sufficient resources to allow for such a cross-subsidization remains unknown. Moreover, we still do not know much about the actual managerial motivations behind commercialization. Are nonprofit managers forced to do so in order to compensate for reductions in contributed income (whether public or private)? Or do they actively pursue business activities and opportunities for other reasons? Unfortunately, there are few, if any, conveniently available data sources that can be utilized to examine these issues. For this reason, we have approached the data issue from a different perspective. More specifically, we collected annual report data for a small sample of 15 American art museums over an eleven-year period from 1989 to 1999. While the sample is small, it does provide a sufficient number of cases to conduct time-series analyses. Such an analysis is well-suited to examine behavioral assumptions underlying the current commercialization theory, as causal relationships can be tracked over time.

Art museums, of course, constitute only a very small part of the nonprofit sector in any country and the dynamics of these institutions are not necessarily the same as for the majority of nonprofits in other fields. However, it can be argued that the relevant external conditions that have caused nonprofits in general to become more commercial are equally applicable to the arts (Toepler, 2001)—at least in the U.S. context. Significantly, moreover, while art museums are not representative of the sector at large, they do constitute a polar case of commercialization that allows for testing some of the key behavioral and managerial assumptions underlying the current thinking about commercialization, which is the key focus of the proposed paper. More specifically, museum merchandising has significantly increased over the past decade or so—in the US as well as in other Western countries (see Hutter 1998). In addition to the expansion of on-site and off-site shops and mail-order catalogues, many US museums are now also adopting e-tailing technology to open virtual stores. Although frequently hailed as a major revenue source, for some large museums at least, the costs of running this business almost equal the costs of running the museum itself, while the net income appears to be very small compared to the resources going into merchandising. For example, there are cases where merchandising costs accounted for half or even more of the total expenditures some museums. With unambiguous and relatively high stakes in what clearly constitutes business activities (i.e., retail), current commercialization theory should be able to explain the development of museum merchandizing without any restrictions.

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Paper Number: PA021351

Paper Title: Social Enterprise and Nonprofit Commercialization through the Institutional Theory Lens

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Summary of Research

How can we make sense of the emergence of social enterprise as a new organizational form in the nonprofit sector? In this conceptual paper, we will focus on the emergence of social enterprise and nonprofit commercialization and the roles that institutional theories of organization (and particularly recent research on institutional change and competing rationalities) can play in making sense of the rapid emergence of this novel and important dynamic in the nonprofit sector.

Description

How can we make sense of the emergence of social enterprise as a new organizational form in the nonprofit sector?

In this conceptual paper, we will focus on the emergence of social enterprise and nonprofit commercialization and the roles that institutional theories of organization can play in making sense of the rapid emergence of this highly novel and highly important dynamic in the nonprofit sector. 'Social enterprise' (this paper will only focus on the segment of social enterprise that is located in the nonprofit sector (Young, 2001)) differs from habitually understood nonprofit sector organization in terms of strategy, structure, norms and values. In short, social enterprise represents a radical and contested innovation in the nonprofit sector. Drawing on the literature from the field of institutional theory (particularly recent research on institutional change), we will propose a typology of multiple versions of legitimacy and rationality which connect the emergence of the social enterprise form with wider societal, ideological and political dynamics. While this typology will have obvious value for nonprofit scholarship, it will also have value for nonprofit managers and policy researchers because of its emphasis on the importance of managing legitimacy in the social and political contexts of social enterprise.

The use of institutional theory allows us to move away from rationalist and economic-based theorizing of social enterprise to a more open systems perspective which includes wider sociological understandings of the context and the importance of the emergence of new organizational forms. Present theories of the nonprofit sector such as those elaborated in the works of Weisbrod (1988), Salamon (1995) and Hansmann (1987) focus on economic and rational explanations of the sector - for example, nonprofit organizations are believed to exist because of market or governmental failure to provide services, or because 'clients' are unable to accurately evaluate certain kinds of services and thus require organizational forms in which they can place trust. Similarly, social enterprise is regarded as a rational and functional innovation in the nonprofit sector - it is understood as a 'solution' to public sector funding and philanthropic resource constraints (Dees, Emerson and Economy, 2001), for example, or it represents a strategically better option for nonprofit organizations to fulfill their pro-social mission (Emerson and Twersky, 1996). These rationalist explanations ignore or downplay some of the sociological basis and cultural/political origins of the nonprofit sector (and of its recent organizational innovation in 'social enterprise') and may lead analysts to search for narrow economic or strategic reasons for the existence and structure of these organizations. A central contention of institutional theory is that there are fewer 'reasons' (in the rational, cost/benefit sense of the term) than such theorists propose. Institutional theory offers contrasting explanations for social enterprise in the nonprofit sector which are more sociological and less instrumentally rational.

This paper will cover three broad areas. First, we will map out the field of social enterprise (in the nonprofit sector) using the rapidly growing body of recent research from the United States (eg. Emerson and Twersky, 1996, Young, 2001), Canada (eg. Zimmerman and Dart, 1998) and the United Kingdom (eg. Grenier, 2002, Shaw, Shaw and Wilson, 2002). This section will develop both definitions and characterizations of nonprofit social enterprise and will pay particular attention to writers' attributions of the origins, purposes and roles of social enterprise (i.e. querying from where it has emerged and on what basis it is considered important). Because this paper will develop explanations for the emergence of social enterprise through institutional change in the nonprofit sector, contrasts will be developed (eg Skloot, 1987) between the social enterprise form and that described as the 'traditional' nonprofit organizational form.

The second section of the paper will develop the institutional theory perspectives, models, and constructs which will assist in making sense of the emergence of the social enterprise form. Institutional theory (IT) is a major force in organizational research today, yet has been little used in nonprofit sector analysis. IT offers contrasting explanations of nonprofit organizations from a more sociological perspective. Major works in IT (for example, germinal papers by Meyer and Rowan (1977), DiMaggio and Powell (1983), Scott (1992) and Zucker (1987)) have been important in organization analysis because of their emphasis on nonchoice and nonrational bases for the explanation of organization structure and broader sector and societal structure. IT emphasises explanatory frames for organizational analysis based on constructs such as habit and routine (Meyer and Rowan, 1977) and conformity and isomorphism (DiMaggio and Powell 1983) to explain organizational behaviour. More recent research on legitimacy and legitimation (Suchman, 1995 and Aldrich and Fiol, 1994) emphasises conformity to societal (or stakeholder) expectations rather than efficiency and effectiveness as principal organizational goals and as primary determinants of organizational success.

Until recently, institutional theory was more focused on explaining the stability of organizational fields rather than their change. However, recent writing has developed the concept of institutional change in a manner which will be used in this paper to develop a sociologically-based explanation for the emergence of social enterprise in the nonprofit sector. Townley (2002) and Oakes, Townley and Cooper (1998), for example, track the change of the 'museum' organizational form following the introduction of business planning in the field during the mid and late 1990's. They make sense of institutional change through concepts such as 'competing rationalities' (Townley, 2002) and 'practice as pedagogy' (Oakes, Townley and Cooper, 1998). Other recent research on institutional change focusing on change in organizational form (Thornton, 2002), changes in language and organizational naming (Glynn and Abzug, 2002), organizational fads and fashions (Abrahamson, 1996) and changes in organizational sectors and fields (Greenwood, Suddaby and Hinings, 2002, Greenwood and Hinings, 1996) provide a wide institutional change topography for making sociological sense of the emergence of social enterprise in the nonprofit sector in its present context.

The third section of the paper will discuss contributions of institutional theory to our understandings of the role(s) and place(s) of social enterprise in the nonprofit sector, and will suggest research issues for an improved broader understanding of social enterprise. This section will include a typology of bases of institutional change (based on a synthesis of sources developed in section two of this paper, and using Suchman's (1995) typology of legitimacy and Townley's (2002) typology of rationalities), an application of this typology to the social enterprise phenomenon, a discussion of this application, and a list of empirical and conceptual research issues implied by the integration of institutional theory and social enterprise research.

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Paper Number: PA021542

Paper Title: The Functions of Social Entrepreneurship in the UK

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Summary of Research

This paper focuses on the emergence of social entrepreneurship as an organisational field in the UK between 1995 and 2001. Based on interviews with key players, and drawing on theories of entrepreneurship, the paper looks at the particular functions of social entrepreneurship in the UK context. Particular attention is paid to the contested nature of social entrepreneurship.

Description

In this paper I focus on the emergence of social entrepreneurship as an organisational field in the UK, specifically between 1995 and 2001. Social entrepreneurship in the UK emphasises the role of individual social entrepreneurs in bringing about social innovation, change and progress. Drawing on the multi-disciplinary literature found in the study of entrepreneurship, I propose five core functions of entrepreneurship. Based on those functions I consider the particular functions of social entrepreneurship in the current context of the UK, and suggest some reasons why it has emerged as a field. I then go onto discuss some of the tricky issues that might face the field of social entrepreneurship as it develops and institutionalises.

The paper covers three broad areas. First I set out some of the background and context for social entrepreneurship in the UK (Thake, 1995; Pearce, 1999; Leadbeater, 1997). This includes a review some of the current definitions of social entrepreneurship with an overview of the emergence of the field (Dees, 1998; Johnson, 2001). I focus in particular on the reports and publications that have promoted the concept of social entrepreneurship, together with the development and rapid growth of organisations set up to support and advocate for social entrepreneurship. Social entrepreneurship is also positioned within the evoloving areas of the social economy, interest in increasing social capital, the development of social enterprise, and concern for more effective social investment (Mayo and Moore, 2001; Wallace, 1999). Social entrepreneurship in the UK is also briefly contrasted with current thinking in the US, to highlight the particular form that it is taking in the UK.

Second I identify the functions of entrepreneurship, based on literature on entrepreneurship from the disciplines of economics, sociology, management, psychology, and anthropology. These functions are identified as: innovation (Schumpeter, 1998: 1949); bearing risk for society (Cantillon in Hebert & Link, 1982); spotting and acting on opportunities (Kirzner, 1982, 1989); co-ordination or bridging (Casson, 2000; Barth, 1963); and leadership (Casson, 2000; Swedberg, 2000). These theories demonstrate that profit is not a central concept to entrepreneurship, and therefore theories of entrepreneurship can apply across sectors and in very different contexts (Martinelli, 1994). The particular functions of social entrepreneurship are then considered in some detail, drawing on the theories outlined together with the particular contextual factors identified above.

In the third section of the paper I discuss some of the contentious areas, where there are specific tensions between social entrepreneurship and the values of the nonprofit sector. In particular I discuss the focus on the individual in social entrepreneurship, compared with the focus on community and collective action in the nonprofit sector (Thake, 1999; Pearce, 1999). Further to this, there is an emphasis in social entrepreneurship on business sector values and practices and their application to nonprofit organisations. A range of concerns and implications of this emphasis are also discussed. The implications for the development of the field of social entrepreneurship are discussed. Further areas of research are identified, highlighting the need for the development of a rigorous theoretical approach to social entrepreneurship.

In this paper I will draw on semi-structured and informal interviews with social entrepreneurs and organisations supporting social entrepreneurship together with documents, reports, policy papers, and promotional literature produced by organisations promoting social entrepreneurship and by organisations critical and concerned about social entrepreneurship.

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Paper Number: PA021649

Paper Title: Societe Co-operative D'interet Collectif: A multi-stakeholder model for social entrepreneurial organisations.

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Summary of Research

This paper examines the French nonprofit sector and in particular the impact of the new organisational legal form for social enterprises Societe Co-operative D'interet Collectif (SCIC). The development of this new organisational form is discussed with reference to associations, the dominant organisational form since 1901.
The impact upon social enterprise and organisational governance within the sector are the two main themes of this paper.
Potential problems that SCICs could encounter both internally and externally are discussed with recommendations as to how these concerns could be addressed through the use of an 'umbrella' organisation.

Description

This paper investigates and discusses the French nonprofit sector and in particular the impact of the new organisational legal form for social enterprises Societe Co-operative D'interet Collectif (SCIC) created in July 2001. The development of this new organisational form is discussed with reference to associations, the organisational legal form that has dominated the French nonprofit sector since 1901.

Though the associative model has create a nonprofit sector that is varied, from large NGOs to small societies, and the range of activities that associations are involved in cover every aspect of French life, the legal requirement that nonprofit status is linked to a singular legal form (associations) has created a sector that is inflexible and anachronistic. This view is particularly valid in respect to social enterprise and organisational governance which are the two main themes of this paper.
The paper discussed the genesis of the new legal form SCIC noting the impact of the Johns Hopkins Project on the European Commissions perspective of nonprofit organisations and the resulting initiatives by both the Europeam Commission (Digestus Project) and French government (Lipietz Report) to promote social enterprise. These two initiatives are seen as being vital in the move towards a more social entrepreneurial approach to nonprofit sectors, with the Lipietz report being effectively the Green Paper for the creation of SCICs in France.

The importance of SCICs both in terms of social enterprise and governance are highlighted with reference to the debate in the UK regarding nonprofit organisational forms and the potential of social enterprise as a more appropriate organisaitonal form than private profit motivated companies to replace the public sector's role within the social economy. A particular aspect of the attractiveness of SCICs is its multi-stakeholder governance structure that is a legal requirement of its the nonprofit status. This contrast sharply with the uni-stakeholder models of associations and in governance terms is more acceptable than those organisations such as traditional co-operatives that, though have the potential to be multi-stakeholder, tend to only represent one stakeholder.

In the final part of the paper attention is drawn to the external and internal environment of SCICS and concerns are raised as to the potential impacts that these may have on the future growth of social enterprise within the French Nonprofit sector. Within the external environment, it is noted that though SCICs may operate in one particular area, such as job creations schemes, the social problems that may accompany the beneficiaries of the SCIC are not so discrete. Consequently an SCIC whilst helping a beneficiary with one social problem area i.e. employment may also have to assist in another, such as housing or drug addiction. This may result in SCIC having to develop a range of expertise as seen in UK

Housing Associations or, as the paper recommends, there is a need for support service to provide a range of assistance for the social problems that may accompany the beneficiaries of SCICs. There is another area where an umbrella organisation could make a significant impact. Financing is a crucial aspect of social enterprises and though government funding is available the need for independent, appropriate, financing is vital for any social enterprise. Therefore the paper recommends that the remit for the 'umbrella' organisation would not only be to co-ordinate social support for SCICs but also to co-ordinate or be a conduit for appropriate financing.
With respects to the internal environment the paper notes that the issues of governance is not 'solved' by the multi-stakeholder model itself as democracy within the decision-making process is not guaranteed. Rather there is still the potential for a dominant stakeholder group or coalition developing. This can result from the original constitution of the SCIC or develop as a result of its organisational development. The lack of guidelines on the constitution of SCICs and 'best practice' for its decision-making process has left an ambiguous situation that needs to be addressed either through legal guidelines or through the remit of an umbrella organisation

In conclusion the paper highlights the need of an 'umbrella' organisation as important to the success of SCICs

Key words

France Social Enterprise Governance Co-operatives