

**Paper Number:** PN022092

**Paper Title:** Reconsidering Donor Accountability

**Author(s):**

Professor Norman I. Silber, Hofstra University, Hempstead, NY, USA

**Description**

Evelyn Brody, Professor of Law, Chicago-Kent School of Law, Chair.

As a matter of policy and law, the degree to which nonprofit organizations and their managers are and should be obligated to spend donated funds in conformity with donor understanding has been controversial. The panelists, who include an historian and three law professors, explore this problem, which has assumed great importance in recent years, in the context of several institutional settings.

**Paper Number:** PN022092.1

**Paper Title:** Accountability to Donors: Rethinking Variance Power in Community Foundations after Community Service Society v. New York Community Trust

**Author(s):**

Professor Mark Sidel, University of Iowa, Iowa City, IA, USA

### **Summary of Research**

Professor Sidel graduated from Yale Law School in 1985. He has served as a Program Officer for the Law and Governance section of the Ford Foundation and as consultant to the Ford Foundation, the World Bank, and other nonprofit organizations. He currently teaches Nonprofit and Philanthropic Institutions at the University of Iowa College of Law.

### **Description**

This paper reviews the origins and history of community foundations' variance power and the first significant case to review the variance power, which pitted the Community Service Society, a prominent New York social services agency, against one of America's most prominent community philanthropies, the New York Community Trust. In the context of increased attempts by donors to control the direction and results of their philanthropy, the New York Community Trust variance power case presents the first challenge to the exercise of variance power and holds implications not only for the future of this key element of American community philanthropy but also the competition for donor funds with donor-advised funds and other alternatives.

**Paper Number:** PN022092.2

**Paper Title:** Accountability to Donors: Considering the obligation to spend donated funds in conformity with donor understanding in the wake of 9/11

**Author(s):**

Mr. Robert Katz, Indianapolis University School of Law, Indianapolis, IN, USA

**Summary of Research**

Professor Katz is Associate Professor of Law and Philanthropic Studies at the Indiana University School of Law at Indianapolis. He is currently writing an entry on the subject of "donor intent" for the Encyclopedia of Philanthropy being assembled by the Indiana University Center on Philanthropy.

**Description**

Central to the problem of honoring a donor's intent is the charity's accountability-- its responsibility to do what donors want, to do what charities have promised or represented that they would do. This issue came into focus with particular intensity in the matter of the Buck Trust, and again after the events of "9/11", as the public paid great attention to the matter of the latitude of charities to reallocate funds among different charitable projects in ways that depart from prior promises or understandings. The matter became most pressing with multi-purpose or multi-disaster charities like the Red Cross, but it also affected single-purpose, single-disaster charities such as the Twin Towers Fund. The paper considers ways in which charities might preempt some of the difficulties they might otherwise face, through the recasting of solicitations.

**Paper Number:** PN022092.3

**Paper Title:** Accountability to Donors-- And to Clients and Governments as Well: Challenges Posed by U.S. Traditions and Practices for Nonprofit Organizations

**Author(s):**

Dr. David Hammack, Case Western Reserve University, Cleveland, OH, USA

**Summary of Research**

Professor Hammack is Haydn Professor of History and Chair, Faculty Council, Mandel Center for Nonprofit Organizations, Case Western Reserve University. He is the author of many publications in the field of nonprofit organizations and philanthropy, including the book Making the Nonprofit Sector in the United States.

**Description**

The discussant has considered the problem of donor accountability in several previous publications. This paper, the result of further research, will approach the problem by considering a proposal to establish threshold conditions for donor accountability. It will suggest that under conditions in the United States, it would be appropriate to hold nonprofit managers accountable to their clients/customers/audiences, where those groups provide half or more of all nonprofit revenues to their organizations; and to government sources that provide 1/3 of all revenues, as well as to the donors who provide not less than 1/6 of revenues.

**Paper Number:** PN022092.4

**Paper Title:** Accountability to Donors: Considering whether Donor-Advised Funds have been Excessively Accountable.

**Author(s):**

Prof. Norman Silber, Hofstra University, Long Island, NY, USA

**Summary of Research**

Professor Silber teaches nonprofit law at Hofstra Law School. He is the author of A Corporate Form of Freedom: The Emergence of the Nonprofit Sector.

**Description**

Recently the Department of the Treasury froze the assets of several domestic nonprofit organizations which were accused of supporting terrorist organizations. In an opinion-editorial published in the January 24, 2002 issue of the Chronicle of Philanthropy, the discussant examined the implications of the finding that many of these accused organizations were the recipients of funds donated by commercially affiliated donor-advised funds. In particular, the routine acceptance of donor recommendations was called into question. The paper explores the tension between promoting the free flow of donor funds and screening donations against the possibility of abuse.

**Paper Number:** PN022097

**Paper Title:** Governance Challenges in the 21st Century: Theoretical and Practical Considerations

**Author(s):**

Dr. Martha Golensky, Grand Valley State University, Grand Rapids, MI, USA

**Description**

This panel presentation focuses on the role of the board in nonprofit organizations, an issue that continues to be of high interest to academics and practitioners alike. This is a time of great change and uncertainty for the nonprofit sector, necessitating that organizational leaders, both professional and volunteer, exercise their duties in the most efficacious manner possible.

□To a degree, this leadership burden weighs more heavily on board members than on the CEO, given that they are volunteers and often lack both a knowledge base and direct experience relevant to the organization they are serving, let alone the nonprofit sector in general. However, legally and morally, the board is responsible for ensuring that the organizational mission is appropriately represented through the programs and services provided to clients and the community at large. Questions can then be legitimately raised about how best to prepare trustees to assume their responsibilities, especially with today's emphasis on accountability.

□The three papers that make up this panel address these challenges from different perspectives. The first one offers a theoretical framework of leadership as it pertains to the board, based on Quinn's competing values approach. This framework has been applied in the past to the chief professional officer of an organization but not specifically to the board. The recognition of the many and potentially contradictory demands regarding organizational performance, which is the foundation of Quinn's model, is certainly timely and thus worthy of our attention.

□The second paper raises an important issue: How to transfer the knowledge and skills learned in the classroom concerning governance to agency settings. This challenge is particularly acute when the student is the agency's executive director or a senior staff member and therefore is interested in affecting his/her own board. The paper reports on a multi-year demonstration and research project undertaken by one university that tested three different dissemination techniques. The results provide useful guidance both for organizations wishing to improve board performance and for universities considering similar research efforts.

□Improving board performance is also the primary concern of the third paper. The research reported here represents the final phase of an effort that began in 2000 with a survey of CEOs and board members of West Michigan nonprofits in regard to their governance practices. A university-sponsored conference held in spring 2001 addressed issues identified by the survey respondents. This paper, based on interviews with the CEO and the board chair in seventeen of the organizations participating in the conference, discusses and draws practical implications from the attempts to apply what was learned at this event to effect change in board practices.

**Key words:** leadership, governance, board performance, best practices

**Paper Number:** PN022097.1

**Paper Title:** A Competing Values Approach to Understanding Board Leadership

**Author(s):**

Judith Miller, Ohio University, Athens, OH, USA

**Summary of Research**

This paper presents a theoretical model, the competing values approach, to examine the role of the board in nonprofit organizations. In particular, the competing, and often contradictory, demands on the board are examined within the four dimensions of this model, in terms of effectiveness of performance.

**Description**

A Competing Values Approach to Understanding Board Leadership

Nonprofit administrators confront a complex operating environment where competition for limited resources is fierce, where multiple stakeholders often place competing demands on organizational outputs, and where tremendous uncertainty has the potential to distort opportunities for growth. It has been consistently argued that a fundamental role of the nonprofit board is to help the organization reduce uncertainty and interpret environmental demands. However, the literature has been remiss in specifying how nonprofit organizations and their boards should prioritize competing demands and in providing any guidance about how to deal with situations that are contradictory or paradoxical.

A tool that may be useful for nonprofit boards to examine these issues is a framework that explicitly links organizational and managerial (in this case, board) performance. The Competing Values Approach to Organizational Effectiveness (Quinn and Rohrbaugh, 1981; 1983) provides such a model. The framework is particularly useful in helping board members recognize the inherent paradoxes and contradictions of organizational life. In order for the board to assume an effective leadership role, they must take responsibility for ensuring that each of the leadership roles in the model is performed to some extent within the board.

The competing values framework is built around three value dimensions that specify the competing and contradictory demands people hold regarding organizational performance. The first value dimension relates to organizational structure, ranging from an emphasis on stability and control to an emphasis on flexibility and change. A second dimension reflects differing preferences for organizational focus, and ranges from an internal, person-centered focus to an external environmental focus. The third dimension depicts a means-ends continuum and reflects whether performance evaluation criteria are more focused on organizational process or outcomes. Juxtaposition of the first two value dimensions yields a basic conceptual framework that parallels four distinct models of organizational effectiveness (internal process, rational goal, open systems, and human relations).

In this article, I apply the competing values approach to nonprofit boards of directors and examine each of the four models of effectiveness while illustrating how each of the criteria regarding performance relates to different aspects of leadership and organizational effectiveness. Since the nonprofit board is ultimately obligated to ensure that the organization carries out the purposes for which it was established in a reasonable and accountable fashion, it is the responsibility of the board to take a leadership role in addressing the paradoxes that are inherent in the best practice literature. When the board takes this leadership role, it can enhance its capacity to influence organizational effectiveness by organizing work in ways that balance competing, and often contradictory, expectations for nonprofit effectiveness. The competing values approach offers board members a framework for understanding the paradoxical nature of leadership. In order for the board to be an effective leader, it must organize itself in ways that reflect the value dimensions of the model. In this way, the board can ensure that all relevant functions are performed in a manner that leads to the enhancement of organizational effectiveness.

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**Paper Number:** PN022097.2

**Paper Title:** Improving Nonprofit Boards Through Experiments in Translating Lessons from the Classroom to Application in the Nonprofit Agency

**Author(s):**

Dr. Mary Hall, Seattle University, Seattle, WA, USA

### **Summary of Research**

This paper will report on a multi-year demonstration and research project to experiment with different ways of helping students participating in an academic-based nonprofit education program apply their new knowledge in improving their agency's board of directors. It will share which techniques worked the best and offer suggestions for similar efforts by other universities.

### **Description**

" Improving Nonprofit Boards Through Experiments In Translating Lessons From The Classroom To Application in The Nonprofit Agency"

Disseminating classroom knowledge to the nonprofit agency where students are employed is a major challenge facing academic-based nonprofit education programs. This is particularly true when the agency group that the student wishes to improve is the agency's board of directors and when the student is also the agency's executive director or a senior staff member. Not only is the student/employee faced with the board's normal resistance to change or skepticism of "academic" knowledge, but also issues of authority and power may compound the dilemma.

However, if the knowledge and skills taught through academic-based programs is to have any immediate impact on the agencies in which students are employed, we need to find better ways to apply the classroom education. Universities need to add more value to the agencies that employ their students, especially if the institutions want these agencies to help underwrite the cost of the employees' educational experience.

This paper will report on a project to test different dissemination techniques that were carried out by the Executive Master of Not-For-Profit Leadership Program at Seattle University and funded during 1999-2002 by the David and Lucile Packard Foundation. It will focus on those efforts aimed specifically at improving the performance of boards of directors. Three different modes of knowledge dissemination were tried:

- 1) □ An "intranet" to allow current participants in the program to exchange information with and request advice on board issues from the program's prior graduates and a panel of nonprofit experts in the region. The intent of this technique was to create an ongoing "learning community" aimed at board improvement for the program's participants and graduates that would encourage and reinforce efforts to apply their new learning in their own agencies;
- 2) □ An e-mail list-serve through which the program director periodically issued short "news notes" on issues important to nonprofit board development and improvement. Examples of topics were a synopsis of new research findings, a report on a conference presentation or summary of a provocative discussion on a board issue that had occurred in the classroom. An average of six "notes" per month were sent via e-mail to all current participants and alumni. The intent of this technique was to produce information that the student/alumni could easily forward to their agency's board and staff with a personal message to elicit follow-up discussion and action. These news notes were also intended to encourage a climate of receptivity to new information and knowledge by the agency's board and staff and to practically demonstrate the added benefit to the agency of having the student enrolled in the university program.

3)□The creation of six short training modules that students/alumni could download from the program's web site and teach to their agency's board and/or staff. These modules were drawn from several of the MNPL program's courses and were on topics that a student group had selected as being of most immediate use in agency improvement. Two dealt specifically with helping board's understand their roles and responsibilities and choosing among new techniques to improve board performance.

The first technique did not work at all. Technical problems with the design of the "intranet" made the system unworkable. Technique two worked the best in prompting discussions about improvements by agency staff. Technique three was the most effective in having an immediate impact on agency boards. The paper will discuss results drawn from a survey of over 170 agencies and will present a case study of one agency that used the training modules to accomplish a complete transformation of its board.

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**Paper Number:** PN022097.3

**Paper Title:** Best Practices in Nonprofit Governance: Success Stories and Implementation Obstacles

**Author(s):**

Dr. Martha Golensky, Grand Valley State University, Grand Rapids, MI, USA

**Summary of Research**

This paper acknowledges the increased emphasis on accountability for nonprofit organizations. Based on interviews with CEOs and board members, it presents the experiences of seventeen agencies in attempting to introduce changes in their board governance practices. Both successes and obstacles encountered are delineated. The research reflected here is the third phase of an ongoing effort to examine governance practices in West Michigan nonprofits.

**Description**

BEST PRACTICES IN NONPROFIT GOVERNANCE:  
SUCCESS STORIES AND IMPLEMENTATION OBSTACLES

1. ☐ Issue To Be Addressed

☐ The pressure on nonprofit organizations, internally and externally, to demonstrate both programmatic and fiscal accountability continues to mount. In discussions about accountability, questions are raised about effectiveness, especially with regard to what is to be measured and how. These questions are not easily resolved, especially when the services provided are intangible and offered to client populations with limited cognitive ability.

In the effectiveness mix, the board's role is acknowledged but remains unclarified. That is, although there is general agreement about a link between board effectiveness and organizational effectiveness, its exact nature continues to elude us. From the literature on governance, personal research on this topic and practice experience, one point that is clear, however, is the difference in perspective of board members and CEOs about what trustees are doing and what they should do.

Board training and other kinds of development activities have been suggested as a way to increase board involvement in the organization. Yet, for a variety of practical and philosophical reasons, board development is not necessarily given a high priority in many nonprofits. Perhaps an explanation for this is the lack of agreement within the leadership core about the role and responsibilities of the board. Another possible explanation is the limited amount of empirical data we have about best practices in regard to governance, especially from the standpoint of implementation-what works, what doesn't and why.

2. ☐ Literature Review

☐ There is a large, and growing, body of knowledge focusing on boards of nonprofit organizations. Although much of this literature is normative, a number of researchers have been studying how boards actually operate as well as how they should or could function more effectively. The paper will draw on this literature; some of the key references are noted at the end of the proposal.

3. ☐ Approach

☐ This paper is a continuation and culmination of research I conducted in 2000, which was reported in a presentation at the 2000 ARNOVA conference. This research looked at governance practices of nonprofit organizations in West Michigan, from both the board members' and the CEOs' perspectives, specifically to explore a possible link between the motivation to serve on a board and performance. One of the more interesting aspects of the research was the identification of the biggest governance challenges facing nonprofits today, six in all. As has been found in other research, the board and the

CEOs had differing views, although in this case not on the challenges themselves but on their rank order. For the board members, the most significant challenge was securing sufficient funding; for the CEOs, it was the need to clarify board roles and responsibilities.

□ In March 2001, the School of Social Work at Grand Valley State University hosted a conference for board members and CEOs of local organizations to discuss the challenges arising from the initial research. Subsequently, the conference attendees were surveyed by phone to ascertain what had been most useful to them, and twelve nonprofits indicated they planned to implement a change in board governance practices as a result of the conference while five others were going to apply what they had learned to reinforce a recent governance change. Some of the changes to be implemented were purely procedural, such as choosing a new date or time for board meetings, while others were aimed at more fundamental matters, like reviewing and revising expectations for board members. This paper will present the findings on the successes these organizations enjoyed or the obstacles encountered in carrying out these intentions.

The primary data source is interviews conducted with both the CEO and the board chair of each organization to clarify concerns about governance prior to the conference, the specific changes that were implemented, issues related to the implementation and future plans regarding governance. It was anticipated that in some cases the changes had not been implemented; here obstacles encountered were discussed and possible strategies for overcoming the obstacles were explored. Interviewing both sides of the leadership core provided an opportunity to address the question of differing perceptions of the need for a change in board practices and the change process itself.

The paper will thus add to our knowledge about board effectiveness but also provide insights into the impact of change on organizational leadership.

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**Paper Number:** PN022105

**Paper Title:** Community Foundations Support of Neighborhood Associations: A Perspective from Neighborhood Association Leaders in three states

**Author(s):**

Dr. Karen King, University of New Mexico, Albuquerque, NM, USA

**Description**

The researchers developed a three-phase approach to explore why community foundations (CFs) direct a small portion of their support to neighborhood associations (NAs).

In Phase 1, data was analyzed to demonstrate the extent of CF funding of NAs.

In Phase 2, CF executives were interviewed to determine the types of programmatic and financial support for NAs.

In Phase 3, the researchers will interview NA leaders in the service areas of the CFs studied.

At the 31st ARNOVA Conference, data collected in Phases 1-3 will be presented with recommendations CF and NA leaders can implement to improve programmatic and funding relationships.

**Paper Number:** PN022105.1

**Paper Title:** Community Foundation Support of Neighborhood Associations in New Mexico

**Author(s):**

Dr. Karen King, University of New Mexico, Albuquerque, NM, USA

**Summary of Research**

Paper Summary

Neighborhood associations (NAs) empower citizens in a democratic society by providing mechanisms through which they can participate meaningfully in political decision-making, especially about issues concerning them directly. Despite this role, community foundations (CFs), nonprofit organizations that support charitable activities focused on local needs, direct only a small portion of their support to NAs. In 2001, the researchers reported CF executives acknowledge that their support of NAs is insufficient and express a willingness to do more. In this study, the researcher asks New Mexico NA leaders what barriers impede their financial and programmatic relationships with CFs in their communities.

**Description**

PANEL PROPOSAL

The 31st Annual ARNOVA Conference  
November 13-16, 2002  
Montreal, Quebec, Canada

Title: Are Community Foundation Supporting Community-Based Organizations: The Perspective of Neighborhood Association Leaders in New Mexico

Community-based organizations (CBOs) empower citizens in a democratic society by providing the mechanisms through which they can participate meaningfully in political decision-making, especially about issues that concern them directly. To Robert Putnam, CBOs are "schools for democracy" where citizens can develop social and civic skills (2000, p. 338). The essence of CBOs is collective action based on shared interests and common social backgrounds and attitudes.

**Neighborhood Associations**

Neighborhood associations (NAs), a type of community-based organization, are most commonly located in urban areas although they are also found in smaller cities. Neighborhood associations are 1) a group of people who come together to maintain and improve the quality of neighborhood life, and to protect common economic and social interests, 2) have a relatively stable membership, and 3) typically have a democratically elected leadership (Rich, 1980; Oropresa, 1992; Mesch and Schwirian, 1996). Unlike homeowners and condominium associations, membership in them is open to everyone within the boundaries of the neighborhood. Although they may have originally coalesced in response to a serious community problem that had not been adequately addressed by elected officials or public administrators, neighborhood associations usually continue to promote neighborhood needs after the crisis has passed.

The neighborhood association movement in Albuquerque, New Mexico, began in the mid-1970's when the city code formalized the relationship between neighborhood association and the City of Albuquerque. The Office of Neighborhood Coordination (ONC) was formed in 1981 within the Department of Family and Community Services. The ONC was moved into the city's planning department in 2001 to become the Office of Community and Neighborhood Coordination (OCNC). Through these offices, the City of Albuquerque has provided continuous financial and technical support for this public/nonprofit relationship. The number of recognized neighborhood associations now numbers 182, and continues to grow.

## Community Foundations

Community foundations (CFs) are nonprofit organizations that support charitable activities focused primarily on local needs – those of a defined geographical area, generally a city or county, but sometimes a metropolitan region. CFs are designated as public charities rather than private foundations because they raise a significant portion of their resources from a broad cross-section of the public each year. They exist to serve the public interest of a defined area more clearly than do private and corporate foundations or individual funders (Hall, 1992; Mayer and Scheie, 1989). At the current time, there are close to 600 community foundations across the United States.

New Mexico is a very young state, having achieved statehood only two years before the first community foundation was formed in Cleveland, Ohio, in 1914. There are four local community foundation and one state community foundation in New Mexico. The New Mexico foundations included in this study are located in Albuquerque, Carlsbad, and Santa Fe. The Carlsbad Foundation was formed in 1978, and the other two in 1981.

In 1991 and 1992, the Albuquerque Community Foundation worked collaboratively with the Sun West Bank in to provide assistance to neighborhood associations which were designated as 501©3 organizations. Seventeen projects were funded for a total of \$33,203 over the two-year period. Typical projects included tree planting, newsletters, workshops on community concerns, trash receptacles, signage, and public art. There is no indication that this initiative has been continued or repeated.

## Research Question

Despite this unique mandate, community foundations appear to direct a very small portion of their support to grassroots or neighborhood associations. In fact, Covington reports that far from carrying out their recognized goal, community foundation activities are developed and implemented largely in isolation from the people these initiatives are designed to assist (1994). There are several possible reasons for this discrepancy, some having to do with the CFs and others having to do with the NAs themselves. On the supply side, community foundations may decline to fund community based organizations because the amount of time involved in preparing them to be accountable for the money they receive may exceed their organizational resources. There is also the issue of preparing the boards and staff members to work productively with NAs.. Another possibility is that some CFs may lack the discretionary funding that would allow them to support community organizing at the grassroots.

On the demand side, neighborhood associations may not receive community foundation money because they lack the resources to apply for them, e.g. knowledge of how to write proposals, supporting documents, experience managing a budget, etc. Neighborhood associations may not apply for community foundation grants because they may think foundation decision-makers have a bias against them. Neighborhood association leaders may believe this bias reflects foundation decision's lack of awareness of what NAs actually do and who leads them.

The research team developed a three-phase approach to exploring the questions raised in the previous paragraphs. Phase 1 involved collecting and analyzing the data that demonstrated empirically the extent of community foundation funding of neighborhood associations. Sources of information included annual reports, IRS Form 990's, grant application packages, and other appropriate documents from 13 community foundations in Michigan, New Mexico, and West Virginia having assets of \$10 million or more. Variables examined included age of the community foundation, assets and average size of grants, willingness to support non-501©(3) organizations, percentage of donor-assisted funds, amount of discretionary funds, and percentage of application funded. An analysis of the documents indicated that community foundations were not supporting neighborhood associations, programmatically or financially, to any great extent.

In Phase 2, executives from these 13 community foundations were interviewed to determine the level of programmatic and financial support provided to NAs in their respective communities. These CF executives acknowledged that their level of support for NA was insufficient, but expressed an interest and willingness to do more. These findings were presented in detail at the 30TH ARNOVA Conference

in Miami last November.

In Phase 3 of this project, research team members will interview NA leaders in the service areas of the 13 CFs already studied within New Mexico, Michigan, and West Virginia. The survey will focus on their perspectives of the factors and barriers that impede their relationships with CFs in their communities. The presentation at the 31st ARNOVA Conference will include a comprehensive analysis of the data collected in Phases 1-3, as well as recommendations for CF and NA leaders regarding actions they can take to improve their programmatic and funding relationships within their communities.



**Paper Number:** PN022105.2

**Paper Title:** Community Foundation Support of Neighborhood Associations in Michigan

**Author(s):**

Dr. Maxie Jackson, Michigan State University, East Lansing, MI, USA

**Summary of Research**

Community foundations (CFs) and neighborhood associations (NAs) are potential allies in combating problems that impact urban areas. With CFs providing financial and programmatic resources, and NAs supplying access and energy, they should be able to make significant headway regarding urban problems. However, several research studies conclude that CFs direct a very small portion of their grant funds to NAs. This panel will include an analysis of data collected from CF and NA leaders regarding factors and barriers that impede their relationships, and recommendations for CF and NA leaders regarding actions they can take to improve their programmatic and funding relationships.

**Description**

Community-based organizations (CBOs) empower citizens in a democratic society by providing the mechanisms through which they can participate meaningfully in political decision-making, especially about issues that concern them directly. To Robert Putnam, CBOs are "schools for democracy" where citizens can develop social and civic skills (2000, p.338). The essence of CBOs is collective action based on shared interests and common social backgrounds and attitudes.

Neighborhood associations (NAs), a type of community-based organization, are most commonly located in urban areas although they are also found in smaller cities. Neighborhood associations are 1) a group of people who come together to maintain and improve the quality of neighborhood life, and to protect common economic and social interests, 2) have a relatively stable membership, and 3) typically have a democratically elected leadership (Rich, 1980; Oropresa, 1992; Mesch and Schwirian, 1996). Unlike homeowners and condominium associations, membership in NAs is open to everyone within the boundaries of the neighborhood. Although they may have originally coalesced in response to a serious community problem that had not been adequately addressed by elected officials or public administrators, NAs usually continue to promote neighborhood needs after the crisis has passed.

Community foundations (CFs) are nonprofit organizations that support charitable activities focused primarily on local needs - those of a defined geographical area, generally a city or county, but sometimes a metropolitan region. CFs are designated as public charities rather than private foundations because they raise a significant portion of their resources from a broad cross-section of the public each year. They exist to serve the public interest of a defined area more clearly than do private and corporate foundations or individual funders (Hall, 1992; Mayer and Scheie, 1989). At the current time, there are close to 600 CFs across the United States.

Despite this unique mandate, community foundations appear to direct a very small portion of their support to grassroots or neighborhood associations. In fact, Covington reports that far from carrying out their recognized goal, community foundation activities are developed and implemented largely in isolation from the people these initiatives are designed to assist (1994). There are several possible reasons for this discrepancy, some having to do with the CFs and others having to do with the NAs themselves. On the supply side, community foundations may decline to fund community based organizations because the amount of time involved in preparing them to be accountable for the money they receive may exceed their organizational resources. There is also the issue of preparing the boards and staff members to work productively with NAs. Another possibility is that some CFs may lack the discretionary funding that would allow them to support community organizing at the grassroots level.

On the demand side, NAs may not receive community foundation money because they lack the resources to apply for them, e.g. knowledge of how to write proposals, supporting documents, experience managing a budget, etc. NAs may not apply for community foundation grants because they

may think foundation decision-makers have a bias against them. Neighborhood association leaders may believe this bias reflects foundation leader's lack of awareness of what NAs actually do and who leads them.

The research team developed a three-phase approach to exploring the questions raised in the previous paragraphs. Phase 1 involved collecting and analyzing the data that demonstrated empirically the extent of community foundation funding of NAs. Sources of information included annual reports, IRS Form 990's, grant application packages, and other appropriate documents from 13 CFs in Michigan, New Mexico, and West Virginia having assets of \$10 million or more. Variables examined included age of the community foundation, assets and average size of grants, willingness to support non-501c(3) organizations, percentage of donor-assisted funds, amount of discretionary funds, and percentage of applications funded. An analysis of the documents indicated that CFs were not supporting NAs, programmatically or financially, to any great extent.

In phase 2, executives from these 13 CFs were interviewed to determine the level of programmatic and financial support provided to NAs in their respective communities. These CF executives acknowledged that their level of support for NAs was insufficient, but expressed an interest and willingness to do more. These findings were presented in detail at the 30th ARNOVA Conference in Miami last November.

In Phase 3 of this project, the research team will interview NA leaders in the service areas of the 13 CFs already studied. The survey will focus on their perspectives of the factors and barriers that impede their relationship with CFs in their communities. The presentation at the 31st ARNOVA Conference will include a comprehensive analysis of the data collected in Phases 1-3, as well as recommendations for CF and NA leaders regarding actions they can take to improve their programmatic and funding relationships.

**Paper Number:** PN022105.3

**Paper Title:** Community Foundation Support of Neighborhood Associations in West Virginia

**Author(s):**

Dr. Roger Lohmann, West Virginia University, Morgantown, WV, USA

### **Summary of Research**

Although support of Neighborhood Associations (NA's) by Community Foundations (CF's) would appear to be consistent with the mission of the latter, empirical investigation reveals very little existing support throughout the state of West Virginia. This paper explores the reasons for such non-support within a framework of economic, political and social development and suggests reasons why such support may emerge in the future.

### **Description**

While it is reasonable to argue that Community Foundations (CF's) should support Neighborhood Associations and other grassroots associations, earlier investigations in three states (Michigan, New Mexico and West Virginia) found little evidence of such support. Conditions and explanations varied considerably among the states.

Unlike either of the other states in this study, in West Virginia, the lack of support of Community Foundations for Neighborhood Associations is explained in part on the donor side and in part on the donee side. While earlier investigation determined that there are currently 22 community foundations in West Virginia, a high percentage of them are new, very small, and characterized by very limited giving programs. In further investigation, a survey of city governments in the 22 West Virginia communities with community foundations revealed the only a very small number of them (three) were able to identify any existing neighborhood associations in their communities. Thus, it is determined that at least one of the reasons for nonsupport of neighborhood associations by community foundations in West Virginia is the non-existence of neighborhood associations.

This paper will explore this pattern and the reasons for the divergence of West Virginia from the other two states in this study. Findings will be explored within a broader understanding of the economic, political and social development of the state and of the Appalachian region.

**Paper Number:** PN022109

**Paper Title:** An Experiment in Government-Third Sector Partnerships: Newfoundland and Labrador's Voluntary, Community-Based Sector in the Context of the Strategic Social Plan

**Author(s):**

Penelope Rowe, Community Services Council, St. John's, NF, CANADA

### **Description**

In 1998, the Government of Newfoundland and Labrador released *People, Partners and Prosperity: A Strategic Social Plan for Newfoundland and Labrador (SSP)*, a policy initiative based on public dialogue with stakeholders from various sectors of society, including the voluntary, community-based sector (VCBS) and the public. The Social Policy Advisory Committee (SPAC), a government-appointed committee consisting of representatives from the community, designed and conducted the consultation process, producing two reports which provided the basis for social policy renewal in the province and laid the foundations for the SSP. The overall purpose of the plan was to create a "framework for responding to the needs and aspirations of Newfoundlanders and Labradorians in a coherent and effective manner," one of the document's primary aims being to establish a new model for public-third sector partnerships. The SSP recognized the importance of the VCBS as a partner in the process of social policy formulation, in developing community capacity, in service delivery, and in fostering social and economic development. The document also established government's commitment to work with the sector in accomplishing SSP goals.

This panel is particularly relevant to the interests of ARNOVA and its conference participants as it addresses the general theme of the nature of the third sector and its place in society. The papers will explore the sector's role in community development, as advocates of client groups and communities, and as a participant in collaborative government. The SSP, as a deliberate policy shift in the province of Newfoundland and Labrador, is intended to alter significantly the relationship between government and the third sector. It, therefore, offers an opportunity to further our understanding of the implications of such models for partnership building. Through these explorations of the experience of the province's VCBS in the context of the SSP, these papers will shed light on questions and concerns raised in the literature regarding collaborative government, public-third sector partnerships, and the role of the third sector in community capacity building. Given the interest nationally and internationally in these issues, the proposed papers, and the research on which they are based, will enhance our understanding of the impact of such policy initiatives as the SSP.

The papers presented in this panel session will address a number of issues relating to the development and implementation of the SSP in Newfoundland and Labrador and its interaction with and implications for the province's VCBS. The first paper will explore the roots of the SSP as government's response to the concerns expressed by representatives of the voluntary sector during the public consultation process which led to its formulation. The second paper examines the response of VCB organizations to the SSP, their experience in the environment created by the SSP, and the role it has played in guiding government-third sector partnerships. The third discusses the issue of leadership as an important element of the VCBS in the context of the SSP and the role of voluntary organizations in building community capacity.

**Paper Number:** PN022109.1

**Paper Title:** The Origins of the Strategic Social Plan as a Model for Collaborative Government in Newfoundland & Labrador

**Author(s):**

Penelope Rowe, Community Services Council, St. John's, NF, CAN

Dr. Carla Wheaton, Community Services Council, St. John's, NF, CAN

**Summary of Research**

This paper explores the impetus for the Strategic Social Plan (SSP), a policy initiative undertaken by the Government of Newfoundland and Labrador which provides a framework for collaboration and public-third sector partnerships. The SSP reflects many of the concerns expressed by representatives of the province's voluntary, community-based organizations during a consultation process conducted to gain public and sector input into its formulation. This paper will analyze the briefs and presentations made by the VCBS during this process in an attempt to improve our understanding of the factors which have led to the development of this and similar policy initiatives.

**Description**

Opinion polls, consultations, coffee shop conversations and open line programs indicate a diminishing trust in government. Citizens everywhere have been calling for greater involvement in the policymaking process. No longer prepared to simply go to the election polls every few years, dissatisfied with the traditional approach to public consultation and unwilling to accept in blind faith traditional bureaucratic responses to requests for change, they are calling for new models of governance which support more inclusive and meaningful citizen engagement. Meanwhile, there has also been growing interest at both the federal and provincial levels of government in Canada to develop innovative approaches to collaboration with the voluntary, community-based sector (VCBS).

This paper explores one government's response to these developments. In 1996, the Government of Newfoundland & Labrador undertook a public dialogue to develop a strategic social plan by releasing a consultation paper prepared by a working group of deputy ministers. The government then established the Social Policy Advisory Committee (SPAC), composed of representatives from various sectors of society, who were asked to conduct a consultation process in order to create a "road map" for social policy renewal. They were to consider a broad range of issues including education, health, social services, justice and municipal affairs. SPAC traveled around the province, holding public meetings, conducting roundtables, reviewing briefs submitted by a variety of organizations, and listening to presentations from individuals and community groups on the concept of a strategic social plan. After hearing from approximately 1500 people and organizations, SPAC prepared a two-volume report outlining what it had heard and making recommendations for government's approach to a strategic social plan. Although envisioned as a series of program-directed recommendations, the report actually proposed a framework for social policy renewal in the province, one "based on investing in people by integrating social and economic development initiatives and by strengthening individual, family and community resources." This, it was argued, required "new attitudes, new ways of doing things and the sharing of responsibility and resources. Policies, attitudes, programs and relationships must be re-framed to deal with the circumstances which create social problems and to remove the barriers which hinder people from reaching their full potential." (SPAC, 1997b) The provincial government accepted their report and created an interdepartmental and a ministerial committee to translate it into policy. People, Partners and Prosperity: A Strategic Social Plan for Newfoundland and Labrador (SSP), released in 1998, therefore represents government's answer to the concerns expressed and issues raised in consultation presentations and SPAC's proposed framework.

This study examines the environment in which the SSP arose and the conditions which encouraged the development of a new relationship between government and the third sector in the province. It draws upon three main data sources:

- A stratified sample of the briefs presented by volunteer organizations to SPAC during the SSP

consultation process. These presentations reflect the concerns of and issues faced by the VCBS throughout the province and provide invaluable insight into the pre-SSP environment.

- SPAC's two-volume report on the consultations and its recommendations to government for the SSP. This information gives a general accounting of the situation in the province in 1996-97 when the consultations were conducted and summarizes the concerns of VCB organizations and their hopes for the future.

- The SSP document produced in 1998, based largely on SPAC's recommendations, reflects government's interpretation of the presentations and recommendations made by the voluntary, community-based sector.

Through a detailed study of the briefs and the transcriptions from the public hearings and roundtables held during the consultation process, we will explore the context in which the provincial government made its decision to pursue a closer relationship with the VCBS and the SSP as an outcome of this process.

Among the points made in briefs to SPAC and outlined in the committee's final report was the importance of the VCBS in building community capacity and in promoting social and economic development. The role the VCBS could and should play in collaborative government was also discussed. In particular, the following needs were identified:

- A definition of the roles and responsibilities of government and the voluntary sector in public-third sector partnerships,
- VCBS input into the policymaking process,
- third sector independence from government, and
- the provision of adequate resources to meet the sector's growing responsibilities. (SPAC, 1997a and 1997b)

Policy initiatives such as the SSP represent one of the responses of western democratic governments to the problem of growing public disillusionment with current political systems. Arseneau, Campbell and Tanguay have identified two of the major concerns currently facing the Canadian government – its ability “to respond effectively to the rising demands of an increasingly educated and activist citizenry” and a “decline in Canadians’ confidence in these [traditional representative] institutions.” (Arseneau, Campbell and Tanguay, 2001) Some governments have attempted to improve the responsive and representative natures of political institutions by involving other sector actors in the decision-making process and in the delivery of formerly publicly provided services. It has contributed to a growing recognition of the third sector's importance as a partner in collaborative government in terms of delivering services, developing community capacity, encouraging civic activity and providing policy advice but this new relationship requires a significant paradigm shift in the way government operates. (Phillips, 2001; Etherington, 2000; Bucek and Smith, 2000) This paper explores many of these issues, using the SPAC consultation process as a lens through which to view the VCBS in Newfoundland and Labrador prior to the release of the province's Strategic Social Plan. It, therefore, illustrates many of the problems facing the third sector both here and elsewhere which have led a number of governments to begin developing such collaborative frameworks.

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**Paper Number:** PN022109.2

**Paper Title:** The Implications of the Strategic Social Plan for the Third Sector's Role in Newfoundland & Labrador

**Author(s):**

Penelope Rowe, Community Services Council, St. John's, NF, CAN

Dr. Carla Wheaton, Community Services Council, St. John's, NF, CAN

**Summary of Research**

This paper considers the implications of the Strategic Social Plan (SSP) for the voluntary, community-based sector (VCBS) in Newfoundland and Labrador. The SSP aims to strengthen the capacity of the sector in encouraging community development and advocates a greater role for the third sector in the policymaking process and as a partner in collaborative government. This paper will focus inter alia on the following issues related to the SSP: regional implementation, the impact on public-third sector partnerships, and the effect on the relationship between voluntary organizations and the communities they serve.

**Description**

**The Context**

This paper explores the implications of People, Partners and Prosperity: A Strategic Social Plan for Newfoundland and Labrador, released by the provincial government in 1998, for the role of voluntary, community-based sector (VCBS), both in terms of its relationship with government and with the clients and communities it serves.

The Strategic Social Plan (SSP) is a deliberate government policy instrument intended to encourage collaborative government and is a place-based model for development. Based on recommendations from extensive public dialogue (carried out by the Social Policy Advisory Committee), the SSP emphasizes the link between social and economic development, investing in people, and building on community and regional strengths. It also acknowledges the role of the VCBS in community capacity building and as a channel for citizen engagement.

The SSP is about shifting public policy and decision-making from a reactive mode to a preventive and early intervention model. It advocates a results-based approach to population well being and seeks to link social and economic development through broad-based strategies at government and community levels using integrated and coordinated public policy responses. It proposes increased partnerships and collaboration with the provincial government, with the federal government and with communities as the basis for sustainable development. (Rowe, 1999)

**The Research**

This paper is a study of the implications of the SSP for the province's VCBS. The goals of this study are:

- to determine whether the plan has addressed the problems and issues highlighted during the consultations,
- how the province's voluntary organizations have responded to the plan,
- how it is currently functioning on the ground, and
- what recommendations the VCBS has regarding future directions for the relationship between government and the third sector in Newfoundland and Labrador.

Data sources for the study will include interviews and surveys conducted with a stratified sampling of the VCB organizations that submitted briefs to SPAC during the consultation process. This exercise will allow us to compare SPAC's findings and recommendations with the plan produced by government and to gauge the changes engendered by the SSP in the nature of VCBS operations and in the sector's interactions with government four years after its release. The on-going social capital survey being conducted by the province may also provide invaluable insight into this issue.



Because the SSP is a model for place-based development and has been implemented regionally, with the establishment of six regional implementation committees across the province, this study will also report on how regional characteristics (urban, rural and remote) and differing approaches to implementation have shaped the experience of VCB organizations. Additional factors that may have played a role in any observed regional differences will also be taken into consideration. These include changing demographics, the size and health of the VCBS, and the region's economic base and performance. Much of this data will be acquired from the Community Accounts, a large database accessible by region or community and created by the provincial government to promote and enable more evidence-based decision-making, and the Community Services Council of Newfoundland and Labrador's own database containing information on 4000 organizations in the province's voluntary sector.

Among the issues to be explored through this research and which will be discussed in the paper are: 1) the response of VCB organizations to the principles which provide the foundations of the SSP (ex. collaborative government, community capacity building, third sector service delivery); 2) the VCBS experience of the SSP implementation process in the regions; 3) the perceived impact of the SSP on the relationship between government and the third sector; and 4) the extent to which SSP principles are reflected in the social development activities of the VCBS in Newfoundland & Labrador.

### The Contribution to the Literature

While addressing many local issues and concerns regarding collaborative partnerships, this paper also has implications for national and international voluntary and research communities. Given the growing trend towards collaborative partnerships and models of governance, an enhanced understanding of the implications of the SSP for Newfoundland and Labrador's VCBS will offer points of comparison to other initiatives (Bundesen and Henrikson, 2000; Dicks, Hall and Pithouse, 2000) and will contribute to the current body of knowledge on the topic. This study will also help answer a number of questions and concerns that have been raised in the literature on public-third sector partnerships. Concern regarding the offloading of responsibility for service delivery onto an already resource-strapped voluntary sector has been expressed by a number of researchers who argue that partnership frameworks like the SSP must be accompanied by a commitment from government to ensure voluntary organizations have the resources necessary to take on the roles and responsibilities expected of them. The need to identify best practices for collaboration and to create models of evaluation, accountability and governance has also been highlighted. (Phillips and Graham, 2000; Brock and Banting, 2001; Tupper, 2001) Some question the impact of downloading on citizenship in Canada where public provision of services has become synonymous with being Canadian while others point to fears that a closer relationship with government will inhibit VCBS's ability to advocate on behalf of its constituencies. (Phillips, 2001; Jenson, 2001; Shragge, Graefe and Fontan, 2001) All are issues which may, in some measure, be addressed by the research and will be discussed in this paper.

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**Paper Number:** PN022109.3

**Paper Title:** The Leadership Gap: Perception or Reality

**Author(s):**

Penelope Rowe, Community Services Council, St. John's, NF, CANADA

Dr. Larry Felt, Memorial University of Newfoundland, St. John's, NF, CANADA

Lisa Dwyer, Community Services Council, St. John's, NF, CANADA

**Summary of Research**

This paper addresses a nationally held perception that there are significant problems in the areas of recruitment and retention of volunteer leaders. In province of Newfoundland and Labrador there is a belief that the number of people assuming leadership roles in the voluntary sector is declining. Based on interviews, surveys and roundtables with volunteers and non-volunteers around the province, this paper explores the reality behind this belief and offers insight into the causes and consequences of the "Leadership Gap."

**Description**

The province of Newfoundland and Labrador is undergoing a series of significant changes. Factors such as out-migration, aging population, overall changing demographics, and government restructuring are affecting the ways in which the voluntary, community-based sector (VCBS) carries out its work. One of the issues frequently raised in forums organized by the Community Services Council of Newfoundland and Labrador (CSC), is whether the number of people assuming leadership roles in the VCBS is in decline. Stakeholders often refer to such concerns as volunteer burnout, a growing reluctance to join volunteer organizations, and an apparent lack of interest among youth in volunteerism. This paper explores the reality behind this widely held perception of a leadership gap and relates this issue to the provincial government's policy initiative, People, Partners and Prosperity: A Strategic Social Plan for Newfoundland and Labrador (SSP), which seeks to support the VCBS in its efforts to build community capacity.

In a 1999 report, the Community Services Council of Newfoundland and Labrador suggested that the VCBS, "as the provider of a broad range of services," is "of vital importance for the social well-being of the province." It discussed many of the issues then facing voluntary organizations across the province and argued that a much larger network of volunteers was necessary due primarily to an aging population and out-migration. (Brown and Rowe, 1999) In an earlier report based on the public consultation process which led to the SSP, the Social Policy Advisory Committee (SPAC) noted that many in the province's voluntary sector had "expressed serious concerns about the demands which [were] being exerted on community organizations and volunteers." The committee "frequently heard about 'volunteer burn-out,' about overloading existing volunteers to the point that people quit, and that new people are reluctant to get involved." (SPAC, 1997)

A number of national studies and literature reviews have explored the issue of leadership in the third sector and concerns regarding a perceived leadership gap and it has been argued that individuals in positions of power equate volunteerism with "a way to fill in the gaps left by government cutbacks; and on the other ... hoping that volunteerism can help ... retrieve a sense of community" (Marshall, 1999; Hall, 2001). To this end, the Government of Newfoundland and Labrador has created Regional Steering Committees to oversee SSP implementation across the province. These committees bring together senior managers and volunteers from various boards (health, schools, economic development, municipalities), the VCBS and key federal and provincial departments. There are, in all, 44 such boards elected and appointed which are directly involved in the SSP process. Collectively, these boards manage more than half the provincial government's program spending. The directors serve without remuneration and therefore represent a significant part of the VCBS. As is stated in People, Partners and Prosperity, "if the strategic social plan is to have any meaning for communities, regional boards provide a logical base from which to support local efforts and recognize local leadership." (Government of Newfoundland and

Labrador, 1998)

This paper presents the results of an inquiry conducted by the Community Services Council into the status of volunteering and leadership in rural Newfoundland and Labrador. The project consisted of two distinct research phases. For the first phase of the project, researchers conducted an environmental scan to identify key concerns held by numerous stakeholders within the voluntary sector and government in Newfoundland and Labrador. As a complement to a literature review and to glean as much preliminary information as possible, select key informants were interviewed to determine prevalent issues and concerns affecting volunteerism in rural areas. This information provided project researchers with additional insight for the second phase of the project – four community case studies. Four rural communities were chosen in which to explore particular trends in volunteerism. To best illustrate the diversity of rural communities in Newfoundland and Labrador, two of the communities chosen were economically strong while the other two were undergoing significant economic changes and faced actual or potential decline. Furthermore, each represented a separate economic zone and Strategic Social Plan Region.

In these communities, researchers held roundtable discussions and conducted individual interviews with volunteers and with people who were not in a position to volunteer in an attempt to obtain a more complete understanding of the motivations behind the assumption of leadership roles in rural areas. This allowed the researchers to explore possible social exclusion factors which may prevent (or dissuade) people from volunteering. In this paper, we present the project findings and consider these issues within the context of the SSP and what role it has played in encouraging leadership and building VCBS capacity. Ultimately, it is hoped that the results of this project will provide insight to aid voluntary organizations in rural communities in addressing these concerns and will encourage government officials and policymakers to consider such issues in future public policy initiatives.

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**Paper Number:** PA021295

**Paper Title:** Varieties of Religious and Charitable Experience

**Author(s):**

Dr. Michael O'Neill, University of San Francisco, San Francisco, CA, USA

Dr. Carol Silverman, University of San Francisco, San Francisco, CA, USA

**Summary of Research**

Previous research has demonstrated significant relationships between religious affiliation and activity and charitable behavior. A large study of giving and volunteering in California found results partly confirming but partly at variance with these general research findings. This paper presents further multivariate analyses of the California results regarding the relationship between religion and charity, with controls for such variables as race/ethnicity, income, education, age, marital status, and immigration status. Dimensions of charitable behavior studied will include both formal (organization-related) and informal (interpersonal) giving and volunteering.

**Description**

Several studies have concluded that religious affiliation and activity are significantly and positively related to charitable behavior. In the United States, this has been a consistent finding of the seven national surveys of giving and volunteering conducted by Independent Sector between 1988 and 2001 (Hodgkinson and Weitzman, 1996; Hodgkinson, Weitzman, and Kirsch, 1990; Independent Sector, 2001; Saxon-Harrod, 1999). For example, Hodgkinson and Weitzman (1996, p. 5) conclude: "There is a strong relationship between respondents' levels of involvement in religious organizations and their levels of giving and volunteering both to religion and to other charities." Putnam (2000, p. 120, Figure 28) found similar results in his analysis of DDB Needham Life Style annual surveys from 1975 through 1999. This relationship holds across a variety of religious denominations (Wood and Hougland, 1990) and nations (Greeley, 1997).

The importance of the religion variable is further shown by the consistent finding that nearly half of all individual contributions—\$74 billion in 2000—and half of all volunteer efforts go to religious organizations (Giving USA, 2001, p. 154; Hodgkinson and Weitzman, 1996, p. 33).

A recent survey of giving and volunteering in California (O'Neill and Roberts, 2000) found a more ambiguous relationship between religion and charitable behavior. Telephone interviews averaging 30 minutes were conducted from July 1998 to May 1999 with a statewide probability sample of 2,406 Californians 18 or more years of age. Bivariate and multivariate analysis between charitable behavior and sociodemographic, attitudinal, and behavioral characteristics produced results that did not always support the findings of other studies. For example, a multivariate analysis of the interaction between race/ethnicity and charitable behavior, controlling for income, education, and immigration status, revealed no statistically significant relationships, a finding sharply at odds with Independent Sector survey results, which have consistently reported that whites give and volunteer more than non-whites.

Preliminary analysis of the religion-charity relationship reported in O'Neill and Roberts (2000, pp. 18-25) suggests that, in general, religious affiliation and activity have a positive relationship with charitable behavior but that more complex results occur when subgroup effects and appropriate controls are included. For example, the study found that Hispanic Catholics (58% of all Catholic respondents) and non-Hispanic Catholics were significantly different in their giving and volunteering behavior, and that non-Hispanic Catholics gave and volunteered at levels equal or superior to those of Protestants and Jews. The Independent Sector surveys and other studies have consistently shown Catholics giving and volunteering at significantly lower levels than non-Catholics.

The California study also gave significant attention to "informal" charitable behavior: giving and volunteering to individuals (co-workers, neighbors, homeless people) rather than to organizations

(American Cancer Society, Girl Scouts, one's church). Preliminary analysis suggested that the formal-informal distinction is an important aspect of the relationship between religion and charity. For example, Protestants and Jews gave a significantly higher percentage of their household income to charitable organizations than Catholics did, but Catholics gave significantly more than Protestants or Jews to individuals. Again, there may be non-religious effects here: Hispanic Catholics gave significantly more to individuals but less to organizations than non-Hispanic Catholics did.

Using the California data, this paper will report on multivariate analyses of the relationship between formal and informal charitable behavior and (a) religious affiliation (Protestant, Catholic, Jewish, etc.) and (b) religious activity (frequency of attendance at religious services). "Charitable behavior" will be broken down into four dimensions: percentage of households making contributions, contributions as percentage of household income, percentage of individuals volunteering, and hours per week volunteered.

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**Paper Number:** PA021679

**Paper Title:** Beyond Animal House and Easy Rider: A Critical Look at the Philanthropic Work of Brotherhood Organizations:

**Author(s):**

Mr. William L Dulaney, Florida State University, Tallahassee, FL, USA

Tait Martin, Florida State University, Tallahassee, FL, USA

### **Summary of Research**

The purpose of this project is to address the issue of philanthropic endeavor among subcultural groups in contemporary America. This paper compares the popular media portrayal of outlaw motorcycle clubs and college and university fraternities with the philanthropic endeavors of the two subcultural groups.

### **Description**

The purpose of this project is to address the issue of philanthropic endeavor among subcultural groups in contemporary America. This paper compares the popular media portrayal of outlaw motorcycle clubs and college and university fraternities with the philanthropic endeavors of the two subcultural groups. Data were gathered by participant observation and in-depth interviewing over a four-month period in the Southeast United States.

□The paper addresses how two seemingly disparate segments of American society contribute positively to their respective communities through community service, public awareness activities and fund raising. The paper begins by comparing and contrasting the general membership attributes (i.e. socioeconomic status, age, occupation, marital status, etc.) of each group. Next, the paper addresses how the popular news and entertainment media frame and portray of each group. The paper concludes with a description and analysis of the philanthropic enterprises of each group and with a discussion of their respective positive contributions to American society in general.

**Paper Number:** PA021350

**Paper Title:** Trust, Accountability and Individual Giving in the Netherlands

**Author(s):**

Rene Bekkers, Vrije Universiteit, Amsterdam, The Netherlands, Amsterdam, Netherlands

**Summary of Research**

The Dutch system of accreditation for charitable causes works reasonably well. The Dutch have a fairly high level of trust in charitable causes. This study investigates to what extent trust in charitable causes increases giving on the individual level, using a representative survey of donors and non-donors in the Netherlands. The study will show whether the accreditation system has become more well known among the Dutch, whether accreditation increases trust in charitable organizations, and whether trust increases donation. The results may provide useful empirical arguments in the debate on accountability and trust in philanthropic organizations.

**Description**

**Research problem**

The Dutch system of accreditation for charitable causes, which exists since 1997, works reasonably well. The Dutch have a fairly high level of trust in charitable causes. This study investigates to what extent trust in charitable causes increases giving on the individual level. Do people who are more trusting of their fellow citizens and who put more trust in charitable causes donate more often and more money than people with lower levels of trust? To what extent do donors take account of accreditation in donation decisions? To which type of donors does the accreditation appeal most strongly?

**Theory and background**

Philanthropic organizations depend heavily on the public's trust. Donors often do not know what happens exactly to their donation, how much is saved for overhead costs and where the money is actually spent. This lack of transparency is dangerous, because occasional media reports of poor performance and misallocation of funds may easily scandalize the entire philanthropic sector. Recognizing this threat, the Dutch Council of Foundations, and the Association of Philanthropic Organizations have designed a voluntary accreditation system. The system is open not only for members, but to all philanthropic organizations. In order to be accredited, philanthropic organizations have to abide by strict rules on financial management and allocation of resources. Because the system is voluntary, accredited philanthropic organizations stand out as more trustworthy to the public than non-accredited organizations. However, the success of the system is dependent on the public's awareness of the accreditation system. To increase this awareness, a media campaign was launched in 2001. The first goal of this study is to investigate whether the accreditation system has become more well known among the Dutch. A second goal is to test the assumptions that accreditation increases trust in charitable organizations, and whether trust increases donation.

**Data and Methods**

The study uses data from the 'Giving in the Netherlands'-survey (GIN) among a large national sample of donors as well as non-donors of the Dutch population. The fourth edition of the GIN-survey is to be held in May 2002, among more than 1,000 respondents.

**Practical Relevance**

The results may provide useful empirical arguments in the debate on the relation between accountability and trust in philanthropic organizations. If it can be shown that the system actually works in the Netherlands, it should be investigated whether the system can be introduced in other countries as well, and in which conditions.

**Key words:** philanthropy, trust, accountability, accreditation



**Paper Number:** PA021194

**Paper Title:** The Cosmology of Cross-Sector Organizational Collaboration

**Author(s):**

Dr. Diane J. Johnson, Mmapeu Consulting, Greenfield, MA, USA

### **Summary of Research**

"The Cosmology of Cross-Sector Organizational Collaboration: An Examination of Private, Public and Third Sector Organizations Engaging in Community Problem-Solving" is a research project focused on the examination and analysis of the conceptual frameworks of collaboration and partnership. The research provides a review of relevant literature pertinent to collaboration; an examination of the distinctive qualities of the market, not-for-profit and government sectors; qualitative analysis of a multi-site, multi-sector organizational collaboration; and implications for future research. Consequently, the research also explores the development process of a cross-sector organizational collaboration.

### **Description**

ARNOVA PRESENTATION PROPOSAL

Key words: cross-sectoral collaboration, partnership, conceptual frameworks – partnership, theory development

"The Cosmology of Cross-Sector Organizational Collaboration: An Examination of Private, Public and Third Sector Organizations Engaging in Community Problem-Solving" is a research project focused on the examination and analysis of the conceptual frameworks of collaboration and partnership. Cosmology is the scientific study of the form, content, organization, and evolution of the universe (Webster, 1988). Like stars, planets, constellations, moons, and black holes, the universe of collaboration research is filled with intricacies, complexities, denseness, and combustion. Partnership behavior is comprised of such a wide range of environments, principles, and dynamics that the simile between collaboration and the universe seems apropos. This research will explore and analyze various aspects of the "form, content, organization, and evolution" of collaboration and partnership.

Research Goals & Primary Research Question

The research provides a review of relevant literature pertinent to collaboration; an examination of the distinctive qualities of the market, not-for-profit and government sectors; qualitative analysis of a multi-site, multi-sector organizational collaboration; and implications for future research (pseudonyms were used for all of the principal participants throughout the study). This research does not examine nor analyze the concept of effective implementation of collaboratives, but rather explores the development process of a cross-sector organizational collaboration.

This research focuses on several objectives:

- 1) Examine and analyze current definitions and conceptual frameworks of collaboration, filling in conceptual gaps created by limited theoretical development.
- 2) Contribute to the growing body of literature focusing on partnerships and collaborations, specifically addressing the unique dynamics which occur within collaboration and partnership between the three sectors
- 3) Effectively study four sites of a cross-sector organizational collaboration within a particular environment
- 4) Integrate my almost twenty years of experience in working with not-for-profit, public sector and profit organizations into development of theories and concepts related to partnership and collaboration.

This research develops grounded theory based on participant observation of the four sites of the

Commonwealth Technology Initiative Program (CTI), yielding fresh knowledge about how cross-sector organizational collaborations are created and maintained in different environments. The primary research question is:

What factors create, sustain and/or impede cross-sector organizational collaboration and partnership? What is the significance of these factors compared to what we know about generic partnership?

For the purposes of this study, cross-sector organizational collaboration (CSOC) will be defined as:

the voluntary or mandated sequential group process in which non-profit, business and government sector organizations coalesce into a formal inter-organizational relationship to implement and, eventually, achieve a common purpose addressing a societal problem, issue, challenge, and/or opportunity.

This definition is created out of an adaptation of a myriad of definitions from practitioner oriented manuals, studies and the literature focusing on collaboration (Himmelman (1992), Huxham (1996), Gray (1989), Cropper (1996), Finn (1996)). Cross-sectoral and intersectoral will be used interchangeably as both these terms refer to activities between two or more sectors.

There is a critical need for greater understanding of cross-sector organizational collaborations because: (1) this phenomenon is increasing rapidly in scale, scope and level of impact (Berlinger and Hall, 1997); (2) Our current knowledge of cross-sector organizational collaborations is limited, while the available literature is mostly descriptive and insufficiently critical; (3) Deeper and broader understanding of cross-sector organizational collaborations would both guide more effective practice and also strengthen knowledge about the changing roles and behavior of government, business and nonprofit organizations (Huxham, 1996; Waddock, 1991).

Most of the research about collaborations either ignores or undervalues exploration of the organizational dynamics and processes required for effective cross-sector (or intersectoral) organizational cooperation. Intersectoral or cross-sector collaboration is defined as strategies to improve coordination and resource exchange between the three [government, business and community organizations] systems (Waddell, 2002). Several studies identify how the government, private business and not-for-profit sectors differ in motivation, orientation, and perspective related to collaboration, although they do not distinguish between partnership activity between individual organizations and partnership between entire sectors. (Waddell 1997, 2000, 2001; Waddell & Brown, 1997; Gray 1993, 1996).

As clearly delineated boundaries between the public, private and not-for-profit sectors erode it is important for social scientists to develop grounded theory about these evolving organizational structures and mechanisms. The impact of decreased support and funding of the non-for-profit sector; pressure to create smaller, more efficient local, state and federal governments; and the increased demand upon philanthropic entities are phenomenon driving the development of collaboration, in general, and specifically, cross-sector organizational collaborations (Himmelman, 1992; Kretzman & McKnight, 1993; Potapchuk & Polk, 1993; Rosenthal & Mizrahi, 1994; Wolff, 1994).

The research methodology consisted of in-depth structured one-on-one interviews with standardized open-ended questions and open-ended probes allowing for spontaneity, directness and richness in the responses. All of the principal partners of each project --- project directors, business partners, public agencies, and funders were interviewed between February and December 2001. Forty-three (43) interviews were conducted which were taped and transcribed. Additional primary data included content analyses of both technical (research studies and theoretical writings) and nontechnical written material (minutes of meetings, memorandum of understanding, text of emails, newspaper articles and public relations materials). Thematic content analysis was used to develop grounded theory explaining the dynamics of cross-sector organizational collaboration. The four sites supplied a diverse data set within a well-defined environment, which was applied to various settings.

Collaborative work between government, profit and not-for-profit organizations constitute a unique

pattern of activities, interactions and relationships. Because cross-sector organizational collaboration engages organizations from three distinct sectors, the creation, development, maintenance and sustenance of that collaboration is distinctive from generic models of partnership.

The presentation will include the key conceptual frameworks of generic partnership, and the researcher's own conceptual frameworks for cross-sector organizational collaborations; principal findings from the case study analysis and implications for future research.

**Paper Number:** PA021287

**Paper Title:** Trust in the New Economy

**Author(s):**

Dr. Avner Ben-Ner, University of Minnesota, Minneapolis, MN, USA

Professor Louis Putterman, Brown University, Providence, RI, USA

**Summary of Research**

The will investigate the changes in the level of societal trust expected to occur in the transition from the 'old' to the 'new' economy. The paper will study the effects of increased availability of information, faster entry and exit of companies, and other developments, on the level of trusting, primarily by consumers, and the level of trustworthiness, primarily of companies. The role of nonprofit organizations in the new 'trust' environment will be investigated as well.

**Description**

Trust in the New Economy

Paper proposal by

Avner Ben-Ner, Univ. of Minnesota

Louis Putterman, Brown University

The paper builds on "Trusting and Trustworthiness" (Avner Ben-Ner and Louis Putterman, Boston Law Review, June 2001, pp. 523-551, who define the level of trust as an equilibrium between the trusting expressed by the trustor, and the trustworthiness of the trustee. Trusting and trustworthiness are affected by a number of factors, including individual experience with trust, the ability of obtain, store and retrieve information, the degree of risk, past behavior, and so on.

The paper will study how the new economy affects separately trusting and trustworthiness, and the equilibrium level of trust in society in the 'new economy' as compared to the 'old economy.' The paper will investigate how different dimensions of the new and old economies influence the factors that affect the components of trust.

The paper will also inquire into the role of the nonprofit sector in the manufacturing of trust, and its role in the new economy in general.

**Paper Number:** PA021529

**Paper Title:** Role of Nonprofit Organizations in Extreme Events: Public - Nonprofit Partnerships in Dynamic Contexts

**Author(s):**

Mr. Naim Kapucu, University of Pittsburgh, Pittsburgh, PA, USA

### **Summary of Research**

This paper addresses the role of nonprofit organizations in response to extreme events. Specifically, this paper will analyze the interactions among public and nonprofit organizations that evolved in response to the September 11, 2001 terrorist attacks. The role of nonprofit organizations in rapidly evolving response systems is especially dependent upon viable information systems, as these organizations simultaneously responding the needs of the victims as well as soliciting support from volunteers and the donor community. For example, the Red Cross has legal responsibility for mass care under the Federal Emergency Response Plan.

### **Description**

Role of Nonprofit Organizations in Extreme Events: Public - Nonprofit Partnerships in Dynamic Contexts

This paper addresses the role of nonprofit organizations in response to extreme events. Extreme events require coordination in response to jurisdictions under conditions of urgent stress, high demand, and tight time constraints. The problem is sociotechnical in that the capacity for inter-organizational coordination depends upon the technical structure and stability of the information systems that support decision making among the participating organizations. Yet, interaction among human managers, computers, and organizations under suddenly altered conditions of operating in complex, and not well understood.

□ Specifically, this paper will analyze the interactions among public and nonprofit organizations that evolved in response to the September 11, 2001 terrorist attacks. This analysis is part of a larger effort to examine the interactions among public, private, and nonprofit organizations to these events. The role of nonprofit organizations in rapidly evolving response systems is especially dependent upon viable information systems, as these organizations simultaneously responding the needs of the victims as well as soliciting support from volunteers and the donor community. For example, the Red Cross has legal responsibility for mass care under the Federal Emergency Response Plan. Yet, the confusion that marred the actions of the Red Cross in organizing its program of activities and managing the deluge of contributions from an empathetic nation illustrates the lack of coherent strategy of action for this event.

Theoretical background

□ The theoretical framework underlying this approach is that of complex adaptive systems. That is, a system of interacting agencies and jurisdictions will be able to adapt more appropriately to internal and external threats to a given region than separate, uncoordinated efforts by agencies acting independently to meet the same challenges. Adaptive systems depend upon an information infrastructure that has sufficient technical resources to hold and exchange information, sufficient organizational flexibility to adapt the changing conditions, and sufficient openness to new information, concepts and practices to create workable strategies for evolving conditions.

Data collection and methods

□ The study will utilize data collected under NSF Grant #CMS0139309, "Observing and Documenting the Inter-Organizational Response to the September 11 attacks." Data from three primary resources will be used in this analysis. These sources include findings from the NSF study, content analysis from news reports in The New York Times, (9/12/01 – 10/08/01) and situation reports from the Federal Emergency Management Agency.

Organizational analysis techniques will be used to identify the major organizations that participated in the response system, the transactions performed by the organizations, and specifically the interactions between public and nonprofit organizations in response operations. This analysis will produce a daily record of interactions among public and nonprofit organizations for the first 21 days of disaster operations. Using this record of interactions, we explore alternative strategies of action under different assumptions of access to information, number of organizations involved in response operation, and time

available for response with the forecasting techniques of Crystal Ball. These findings may be used to inform decision regarding the allocation of resources, time and attention to increase the capacity for inter-organizational coordination between public and nonprofit organizations in extreme events.

**Paper Number:** PA021587

**Paper Title:** Discourse as Monologue: Cultural Determinism, the 'Savage Other' and Civil Society

**Author(s):**

Mr. Chris Ankersen, London School of Economics and Political Science, London, UK

Mr. Ebenezer Obadare, London School of Economics and Political Science, London, UK

**Summary of Research**

Civil society--the locus in which the ethos of 'civility' is observed--is an artefact of western cultural topography. This essentialism denies the existence of civil society in non-western contexts where the 'tyranny of cousins', the prevalence of 'awesome ritual', and a citizenship vitiated by primordial proclivities are the idioms of social life. So embedded is this denial that most definitions of civil society rest on the presence of some 'uncivil other'. Little attention has been paid to this important problematic. The present paper addresses this imbalance in the literature.

**Description**

Civil society has become widely notorious for its conceptual ambiguity. Allison Van Rooy, for instance, refers to the term as a 'analytical hatstand'. This ambivalence notwithstanding, there seems to be an implicit consensus in the existing literature with respect to the socio-cultural origins of the idea of civil society. To many, civil society is a specific and non-reproducible appurtenance of the western (Atlantic) cultural landscape. According to this view, civil society, broadly defined as the insertion between the state and the family, and more critically as the ethical locus in which the ethos of 'civility' is observed, is a specific artefact of western cultural topography.

This cultural essentialism (championed perhaps most strongly by Ernest Gellner in his "Conditions of liberty : civil society and its rivals") also denies the existence of civil society in non-western contexts where, it is claimed, the 'tyranny of cousins', the prevalence of 'awesome ritual', and a citizenship vitiated by primordial proclivities are the directive idioms of social life. So embedded is this denial that most definitions of civil society tend to rest on the presence of some 'uncivil other'.

So pronounced is this philosophical dualism that even many 'sympathetic' Western and non-Western authors reify the split. Mahmudani and Hutchful, for example, affirm that civil society is a western construct, and any attempt to export it or apply it out of its original context is a form of intellectual imperialism.

With this in mind, we might ask the following question: How valid are the postulates upon which the Western notion of civil society rests? Until now, little attention has been paid to this important problematic. The present paper constitutes an attempt to redress this imbalance in the literature. The main objective is to challenge this dominant paradigm in the literature by examining the validity of using civil society to elucidate social and political processes in non-western formations.

The relevance of such an exercise is not limited to a theoretical corrective. Indeed as more and more NGOs and international organisations such as the World Bank appear to predicate much of their interventions in the South on the premise of building or strengthening civil society, it is of crucial policy import to unpack the baggage carried in these assumptions. Do non-Western societies pose an 'empty slate' upon which Western visions might be inscribed, or are the 'civil society missions' another example of existing, indigenous forms of socio-political intercourse being ignored and supplanted?

**Paper Number:** PA021233

**Paper Title:** What's Up With Virtual Volunteering?

**Author(s):**

Dr. Vic V. Murray, University of Victoria, Victoria, B.C., CAN

Ms. Yvonne Harrison, University of Victoria, Victoria, B.C., CAN

**Summary of Research**

Since the mid-90s a good deal of attention has been paid to a new kind of volunteering which has come to be known as virtual volunteering. In essence it is volunteering by means of the Internet. Drawing on data from a larger study of the use of information technology in volunteering in Canada this paper will address these questions:

- What kind of work do virtual volunteers (VVs) do?
- How much VV work is going on in Canada?
- Who uses VVs?
- What kind of people do VV work?
- How are VVs recruited?
- How satisfied are VV users with VVs?
- How satisfied are VVs with their volunteer experience?

**Description**

Since the mid-90s a good deal of attention has been paid to a new kind of volunteering which has come to be known as virtual volunteering. In essence it is volunteering by means of the Internet. Volunteers do not have to be physically present in the organization they are helping but rather carry out their work at a distance using computers and information and communications technology.

The best known information on virtual volunteering is The Virtual Volunteering Project based at The University of Texas, Austin ([www.serviceleader.org/vv/](http://www.serviceleader.org/vv/)). It provides a great deal of how-to-do-it information to both organizations and individuals wishing to engage in virtual volunteering. It is also the only source of research information on this subject (Cravens, 2000 and the project website above).

This paper will attempt to provide further information on the nature, extent and impact of Virtual Volunteering. The paper is based on data from an ongoing research project on the impact of information and communications technology on volunteering and volunteer management in Canada sponsored by the Canadian Centre for Philanthropy and Human Resources Development Canada.

Data were obtained from 226 managers of volunteer programs in Victoria, B.C. and 365 managers of volunteer programs across Canada who have utilized the volunteer opportunity matching service known as Volunteer Opportunity Exchange (VOE). As well, online surveys on volunteer experiences were completed by 1750 users of either VOE or the online volunteer opportunity matching service operated by the Victoria volunteer center (Volunteer Victoria).

The paper will add to our existing understanding of the virtual volunteering phenomenon by addressing the following questions and comparing the data to that of Cravens:

- What kind of work do Virtual Volunteers (VVs) do?
- How much virtual volunteer work is going on in Canada?
- What kind of nonprofit organizations use virtual volunteers?
- What kind of people do virtual volunteering?
- Where do virtual volunteers come from?
- How satisfied are nonprofit organizations with their virtual volunteers?
- How satisfied are virtual volunteers with their volunteer experience?

The paper will conclude with a discussion of the likely future of virtual volunteering. Is it likely to grow and



expand or is it a form of volunteering with limited value for nonprofits and limited appeal to volunteers?

Reference:

Cravens, J. "Virtual volunteering: Online volunteers providing assistance to human service agencies", *Journal of Computers in Human Services*, V.17, #1, 2000.

**Paper Number:** PA021339

**Paper Title:** Who's Counting: Data Collection on Volunteerism In Texas

**Author(s):**

Dr. Sarah Jane Rehnborg, University of Texas at Austin, Austin, TX, USA

**Summary of Research**

109 million American's contributed 19.9 billion hours of volunteer service in 1999. In order to determine to what extent this phenomenon occurs in Texas, the RGK Center for Philanthropy and Community Service in collaboration with the Texas Commission on Volunteerism and Community conducted an environmental scan of volunteerism in Texas. Sixty-four different organizations representing a cross-section of the field of volunteerism and national service were queried for the scan. Responses were obtained from 49 groups. The responses generated information about volunteer data collection, data and information needs, and impressions of and suggestions for the Commission and its work.

**Description**

Who's Counting: Data Collection on Volunteerism in Texas

**Executive Summary**

109 million Americans contributed 19.9 billion hours of volunteer service in 1999. The value of the volunteer time was estimated at \$225 billion.<sup>1</sup> In order to determine to what extent this generous phenomenon takes place in Texas, the Texas Commission on Volunteerism and Community Service (TxCVCS) entered into an inter-agency contract with the RGK Center for Philanthropy and Community Service in order to conduct an Environmental Scan of Volunteerism in Texas. The Environmental Scan is the first phase of a two-part evaluation process. The scan is designed to help the Commission select a focus for the more comprehensive study, based in part on the types of data discerned to be available in Texas and identified needs of the volunteerism community.

Sixty-four different organizations representing a cross-section of the field of volunteerism and national service were queried for the scan. The researchers obtained responses and information from 49 groups. The responses generated information about volunteer data collection, data and information needs, and impressions of and suggestions for the Commission and its work.

**Key results include:**

- Data on volunteerism is most commonly maintained on the local or programmatic level. Few coordinating groups collect or aggregate data. State agencies as a whole appear to keep the most reliable aggregated data on volunteer service and community participation. The limited data obtained from the scan indicates that 368,642 Texans contributed 9,833,110 hours of service for a dollar value of \$151,331,563.
- Respondents indicated that comprehensive data about volunteerism would be valuable in order to raise the profile of the field of volunteerism in Texas and secure funding.
- General "how-to" knowledge and management information was requested as frequently as basic data about volunteerism in Texas. Although much information does exist, it is neither readily available nor accessible.
- The Texas Commission on Volunteerism and Community Service is best known for the Governor's Volunteer Leadership Conference. While respondents' impressions of the Commission are mixed, most expressed a lack of clarity about the office's mission and focus.

The scan also included a brief review of recent research on volunteerism. The researchers have summarized several household surveys done on state and national levels, as well as reports identifying

pertinent practices, attitudes, and concerns within the field.

Respondents are looking to the Commission to assume a leading role as an advocate for volunteerism in the state. Advocacy includes the provision of data and other 'bottom-line' information about volunteerism, information about volunteer management and best practices, training and networking opportunities.

1 Independent Sector, Giving and Volunteering in America, 1999. Executive Summary.

**Paper Number:** PA021403

**Paper Title:** Volunteering in Cross-National Perspective

**Author(s):**

Dr. Lester Salamon, John Hopkins University, Baltimore, MD, USA

Dr. S. Wojciech Sokolowski, Johns Hopkins University, Baltimore, MD, USA

**Summary of Research**

This paper examines data on volunteering collected as part of the Johns Hopkins Comparative Nonprofit Sector Project in over 30 countries on five continents. To explain cross-national variation in size and distribution of volunteering this paper examines several macro-structural factors stipulated by theories of the nonprofit sector and social movements.

**Description**

This paper examines data on volunteering collected as part of the Johns Hopkins Comparative Nonprofit Sector Project in over 30 countries on five continents. The data show considerable cross-national variation in the total amount of volunteering and in the distribution of that volunteering across service fields. What is more, volunteering tends to concentrate in two different activity areas: culture, recreation, advocacy, and occupational interests, which represents the expressive role of the nonprofit sector; and education, health, social services, and economic development, which represents the service role.

The existing research tends to view volunteering primarily as an individual behavior, explainable by individual incentives, values, beliefs, preferences, interests, or social connections. However, the utility of this approach in explaining variations in volunteering across countries, as opposed to within them, is open to question. This is so because it is difficult to ascribe national patterns to individual differences without explaining why these individual differences vary systematically from place to place. For this, however, a macro-level analysis is necessary. This paper focuses on such macro-structural explanations.

To explain this variation in size and distribution of volunteering this paper examined several macro-structural factors stipulated by theories of the nonprofit sector and social movements. Among the factors examined are the size of the paid nonprofit sector in the country, the extent of government social welfare spending, and the structure of social class relationships that developed during the industrialization era.

This analysis contributes to understanding how national institutions and government social policies affect the scale and distribution of volunteer input.

**Paper Number:** PA021658

**Paper Title:** Long-term Volunteering: Religion Motivating Through Institutions and Identity

**Author(s):**

Mr. Gary J Adler, Graduate Theological Union, Oakland, CA, USA

### **Summary of Research**

Yearlong voluntarism is a subtype of voluntarism, demanding a longer time commitment, higher education, and greater mobility than most types of voluntarism. A case study of the Capuchin Franciscan Volunteer Corps, a Catholic organization that places yearlong volunteers, reveals the characteristics of yearlong voluntarism. Participation in religious organizations such as congregations and universities creates cultural and social capital that facilitates an individual's volunteer commitment. The use of yearlong volunteers' own words, as found in their application essays, displays the importance of religious identity as part of the motivation for yearlong voluntarism.

### **Description**

**Keywords:** voluntarism; religion; Catholicism; religious attendance; religious identity; social capital; congregations; religious universities

**Problem:**

- Each year in the United States over three thousand individuals, usually young persons, enter yearlong religious volunteer programs. These programs, sponsored by Catholic religious orders, place volunteers in rural and urban areas where volunteers engage in full-time service work for twelve months.
- This phenomenon of yearlong voluntarism, nearly 50 years old, has received scant attention in the academic literature (Bernt, 1989). Yet, the characteristics of a yearlong volunteer commitment are different than those of most volunteer activities. Yearlong volunteers make a longer time commitment. Their positions are skilled, usually requiring college degrees in order to teach, do pastoral work, and serve in medical clinics. Yearlong volunteers are also highly mobile, able to move to a different part of the country to engage in their volunteer activity.
- Among this segment of the general volunteer population, religious institutions and networks generate social capital that prepares potential volunteers for a yearlong volunteer commitment. Religiously affiliated universities, parishes, and religious volunteer organizations provide motivational themes for volunteering, as well as concrete opportunities. Church attendance, prior volunteer activity with religious groups, and involvement in collegiate campus ministry activities help to create a religious identity that values service to the poor.
- This paper will show the sociodemographic characteristics of yearlong volunteers. In addition, it will explore the way religious institutions, especially Catholic institutions, create social capital that facilitates yearlong voluntarism. Finally, volunteers' own words will be used to show how they construe their motivations as part of their religious identity.

**Relation to Current Knowledge:**

- There has been a great deal of sociological research on the relationship between religion and voluntarism. The mix of conclusions suggests the effect of differing measurements of religiosity (Cnaan, Kasternakis, Wineburg, 1993). Will and Cochran (1995) and Park and Smith (2000) show that, particularly among Catholics, church attendance influences generosity toward the poor, while religious self-identity has little influence. McNamara's study of young American Catholics (1992) shows that both religious participation and religious identity affect Catholic attitudes and behavior. Religious attendance during adolescence and the beginning of adulthood may affect volunteer rates among Catholics the most (Wilson and Janoski, 1995). Hodgkinson (1990), Wilson and Musick (1997, 1999) and Cnaan (2000) probe the question of why church attendance matters. They show that congregations and other religious organizations have a role in transmitting values, beliefs and stories that encourage volunteering. Attention to volunteers' personal descriptions of motivation highlights the way in which the idea of voluntarism is constructed. "Moral serving" is a process whereby volunteers come to understand themselves and their work as part of a larger identity construction process (Allahyari, 2000). Baggett

(2001) and Teske (1997) show how the identity of a volunteer is expressed through roles and personal stories. Bellah et al. (1985), Wuthnow (1991), and Dinges (1992) have examined the role of religious scripts in the motivational languages of American individuals, especially volunteers. They show how any given individual expresses various motivational languages. Ammerman's understanding of religious identity (1997) and the practical, ethical nature of much religious behavior (1998) helps to explain the multifaceted nature of religiosity and motivations in contemporary volunteers.

#### Approach:

□ The method of research for this paper includes both a survey instrument and content analysis. The subject of study is the Capuchin Franciscan Volunteer Corps (Cap Corps), a program that has placed nearly 100 yearlong volunteers into volunteer service in ten years. The survey consists of questions on religious practice, knowledge, experience, belief, and social attitudes.

□ Respondents were asked to release their personal essays that they wrote upon application to the Cap Corps. Each individual essay was guided by questions provided by the Cap Corps, including questions on individual motivation, family history, and spiritual life. A content analysis for motivational themes yielded an array of specific motivations and particular motivational scripts.

#### Contribution to the Field:

□ This paper contributes to research on volunteer motivations, the relationship of religion and voluntarism, and the role of religious institutions in creating a volunteer's identity. It seeks to describe a particular subculture of the greater volunteer movement that has received little attention over the last 15 years. A study of this subculture is particularly important for three reasons. First, in attempting to understand the diversity of voluntarism, it observes how different types of volunteer activity may result from different motivations. Just as early studies of voluntarism sought to differentiate structured voluntarism from "spontaneous altruism," this paper seeks to differentiate between occasional voluntarism and yearlong voluntarism. Second, it seeks to understand how a dense network of religious institutions affects religious identity. Third, by using actual written statements, it seeks to add the voice of volunteers to the overall study of voluntarism.

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**Paper Number:** PA021372

**Paper Title:** Cooperatives in the Philippines: Their History, Status, Growth and Development

**Author(s):**

Dr. Rogelio Dayrit Cosio, Pampanga Agricultural College, Magalang, Pampa, Philippines

### **Summary of Research**

With the exception of the first country's cooperative organized by the national hero (Rizal) in the late 1800s, early cooperatives in the Philippines were the product of a series of government interventions. Since 1915, more than 20 laws, plus a number of executive and administrative orders, have given more than 15 government agencies the mandate of developing the cooperatives. The number of cooperatives has grown to 56,557 organizations (as of September 30, 2000) with more than seven million members, US\$1.2 billion worth of product volume sales, US\$130,980,000 in savings, US\$133,300,000 capital build-up and US\$74,000,000 paid-up share capital.

### **Description**

This paper contributes to the limited availability of reliable and up-to-date information on the present status, growth and development of cooperatives in the Philippines from where new plans, programs and policies can be designed and formulated to strengthen the cooperatives in the country. Experiences in many developing and developed nations have proven that one of the most effective strategies to attain economic growth and equitable distribution of income and wealth is through cooperatives (Rola, 1988). Thus, the strengthening of the cooperative movement should be a continuous goal of governments so that the cooperative sector can truly live up to its role as an effective partner in improving people's welfare and national development.

The study also provides some insights and explanations on the Philippine cooperatives' long history of unimpressive performance characterized by ups and downs, numerous problems and only a few notable successes. It presented also the causes of cooperative failures in the Philippines.

Secondary data from the Philippines' Cooperative Development Authority (CDA) were used in the study. Descriptive analysis (which included percentages and indices) was employed on the relevant information. Necessary data were presented in tables and figures. The study made use of time-series annual data to evaluate the growth and development of the country's cooperatives, in terms of the total number of registered cooperatives, membership size and financial performance. Performance indicators for their financial status included the levels of capital build-up, paid-up share capital, product volume sales and savings generated. Furthermore, the study measured and evaluated the contribution of the cooperative sector to the Philippine economy.

Cooperativism has a long history of over a century in the Philippines. In retrospect, cooperatives in the Philippines have been faced with many problems since their introduction into the country as a way of life. The cooperative movement is still overshadowed by its tremendous debacles in the past. Since 1915, more than 20 laws, plus a number of executive and administrative orders, have given more than 15 government agencies the mandate of developing the cooperatives in the country. From 1991, the number of Philippine cooperatives has more than quadrupled to 56,557 organizations (as of September 30, 2000) with more than seven million members, P54.7 billion (US\$1.2 billion) worth of product volume sales, P5.8 billion (US\$130.98 million) in savings, P5.9 billion (US\$133.3 million) capital build-up and P3.3 billion (US\$74 million) paid-up share capital. Despite this growth level of the cooperative sector as well as the enabling legislations, service agencies and massive financial assistance and other support services extended by the government, it is disheartening to note that its impact as a vehicle for economic empowerment was, however, not yet widely felt. The general impression is that the cooperative movement has yet to take off from its development stage.

Revitalizing the cooperatives continues to be a primary and urgent concern of the government in its efforts of breaking the cycle of poverty in the rural areas. The reduction of poverty is still a big problem in



the Philippines and has been slow compared to the country's own aspirations. Cooperatives stand as an important institutional form at the grassroots level by virtue of their numbers and their proven capability to help raise the quality of life of the poor.

The government shall sustain its supportive role of providing technical guidance, financial assistance, market linkage, and other direct development services (such as continued educational efforts to build trust, leadership, accountability, transparency, improve access to support services and revitalize member participation) to the cooperatives. The cooperative movement needs an astute leader who can articulate its plans and objectives. Further, it must have visual impact projects of monumental proportions that will jolt the people into recognizing its influence and presence. Moreover, the movement must develop its capability to meet the competitive challenges of increasing global market liberalization.

**Paper Number:** PA021396

**Paper Title:** Community Development--Definitions and Deliver: A Preliminary Investigation on the role of the NGO and religious networks in Kenyan Community Development

**Author(s):**

Dr. Dwight Jackson, Greenville College, Greenville, IL, USA

### **Summary of Research**

Institutions in traditional societies are adjusting to new cultural and social realities because of the increased presence of market economies. In Kenya, where western development NGOs, local NGOs, national and local government, religious organizations, and clan/family intersect, competing definitions of development vie to structure community responses to economic and social challenges. What pattern of definitions and plans of action will emerge from this intersection?

This paper examines the development role of congregations and NGOs in five Kenyan communities giving particular attention to the role of congregations and NGOs in promoting models of development and in constructing networks for their realization.

### **Description**

Community Development—Definitions and Delivery  
A Preliminary Investigation on the role of the NGO and religious networks in Kenyan Community Development

by

Dwight W. Jackson, Ph.D.

Greenville College

Department of Sociology and Social Work

### **Problem**

As traditional societies are being confronted with the realities of market economies cultural frames and social structures are being challenged. In Kenya this process is evident in community development efforts. Organizations from all sectors are attempting to influence the direction of development. This paper will explore the role of Non-governmental Organizations (NGOs) and religious organizations, particularly congregations, as communities consider or participate in development. NGOs have traditionally been agents of European or American based organizations. (Ashman, 2001; Wiarda, 1999) In Kenya, as elsewhere, NGOs participating in development are evolving additional or new roles under local pressure. (Smith, 2001) These new roles are altering the relationships between the actors engaged in development. This study will address the ongoing impact of culture on changes in the social structural. The research issue guiding this study is analyzing the development role of local NGOs and congregations in community development.

### **Knowledge in the Field**

Western developmental models dominate the field of community development whether at home or internationally. (Wiarda, 1999; Rajaei, 2000; Smith, 2001) Local voices—government, NGO, religious, and clan/family—will not participate equally in the conversations. (Smith, 2001) Smith indicates that the role of local organizations is changing. If this is the case then the field requires more information to determine what is the pattern of conversation in the emergence of dominant definitions and plans of action?

The discussions which are guiding this change in organizational patterns are both cultural and social. Griswold (1994) suggests that public nature of development makes these discussions 'cultural objects' and as such subject to analysis at both the cultural and societal levels. Her 'cultural diamond model' indicates several variables at each level which when examined would shed light on the relationships

between the cultural objects and their social world.

#### Approach

This paper examines the development role of congregations and NGOs in five Kenyan communities. These communities provide an opportunity to examine the changing organization interaction in urban, town, and rural settings. Cross-cultural teams of investigators will reside in each community to gather data for this study. They will utilize participant observation, snowball sampling, and open-ended questioning to explore the relationship between cultural frameworks and the actions of selected organizational actors. Each research team will prepare a case study for both local and peer review. These case studies will provide the data for comparing the patterns from each community type. Particular attention is given to the role of congregations and NGOs in these communities to promoting specific models of development and to constructing networks for their realization.

#### Contributions

This study adds to our knowledge of NGO and congregational participation in the dynamic environment of Kenyan community development. These multiple cases allow for theoretical development on the role of culture in framing social structural changes. They also add to a growing body of literature on NGOs and the development of that sector outside of Europe and the United States. Finally, the study provides a base for comparing the role of congregations in local development.

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**Paper Number:** PA021478

**Paper Title:** Local Communities in Russia - Who Are You?

**Author(s):**

Mr. Sergei D Stafeev, Institute of Research on Problems of Nonprofits in the Newly Independent, St. Peter

### **Summary of Research**

We have briefly regarded 2 basic forms of (self)organization of the local community dwellers, their main difficulties, merits and drawbacks.

The key questions is: Is it possible to consider in principle that the municipalities are historically shaped forms of consolidation of people with the common values according the criterion of territory? Or municipalities only are the transforming version of the state government of the territories remaining from the Soviet system of totalitarian control over the life of its citizens, and the real local communities are now forming around the community-based organizations?

### **Description**

The so-called "community-based approaches" applied to the development of civil society sector are actively forwarded in the most Western countries in XX century. USA, UK and Canada are the pioneers in this field. The categories, notions, theoretical diagrams etc. are widely used all over the rest of the world, and in Russia as well. Our leading specialists hope to find there the prescriptions for transformation of rather bad social and economic situation in the hodiernal Russia.

The crucial question is: How successful are these borrowings, e.g. – do they allow to move forward in our understanding of the effective strategies of Civil Society Sector development counting Russian circumstances?

We know that often the ritual following the specific forms and superficial rules which are accepted and considered "working" in the foreign countries creates some virtual space within which everything is seen the same as in the countries with long-term history of democratic institutions and with well-developed social partnership system.

The term "community" becomes one of such key words which to greater and greater extent are introduced into the dictionary of Russian specialists (both academicians and practitioners) in the field of social sciences.

In this article the attempt is made to describe Russian specifics standing behind this notion.

From the author's point of view such a work might be actual for the success of realization of different international "community-based" projects in Russia, especially in the field of NGO development. The complexity of the situation in Russia makes everybody to be extremely accurate at the stage of selection of any social innovations performance.

It is widely known that the main problem of Russia (and of the post-Soviet space as a whole) is connected with low efficiency of the economy (for example, in the year 2001 McKinsey consulting group performed an investigation of the different branches of Russian industry. The average level of productivity (compared to 100% productivity in the USA) is the following: 8% from the US level in cement industry, 37% (the best index) in the field of software production). /Berr, 2001/

All this might be explained by historical, cultural and even metaphysic peculiarities. But in any case, trying to perform the social innovations in Russia at the local level (especially in the small towns or in the country) it is necessary constantly to take into account several key and unfavorable factors which are braking the social and economic development at the local level.

The social structure, non-stimulating the public development.

Cheap labor force

Traditionalistic features of Russian economic culture

Paternalistic functions of the enterprises

In the modern world it is hard to meet so sharp as in Russia contrasts of geographic and demographic criteria of natural, cultural and economic conditions.

In the other words, the ready-made solutions suit Russia even less than some other country.

Only if we try to state the problem extremely accurately, it is possible to hope to reveal those procedures, methods and tools upon utilization of which the experience of the other countries might appear to be useful.

Now we'll try to list several basic factors which determine economic and social and cultural situation within Russian local communities. According the deep belief of the author maybe it is first (or one of the first) meaningful step towards understanding of the notion of "community-based organizations" in the contest of the realities of modern Russia.

In the article we will concentrate in a few problematic areas:

----- Local self-government in Russia (municipalities) - history and current situation

----- The activity of Civil Society Sector Organizations and Russian specifics of problems connected with the participation of the local inhabitants in the government of local community

In the last years it often happens when organized and non-organized local population becomes the carrier and organizer of the independent project ideas concerning the development of their territories. In pre-revolutionary Russia there was a mechanism which allowed to take into account the intellectual, professional and creative resource of population in the plans of local development. The polls of the owners of realty were carried out about their further plans, this data was combined, analyzed and then used for general plan of the development if this territory. At present this kind of work is being started in several Russian regions.

It is well known that the more often the certain local dwellers use the direct democracy forms (or unite for this purpose with the other people from that territory) the faster the process of local self-government progress goes and the more stable the local community becomes.

Russia has a long history of totalitarian administration, within which people identified themselves as a part of a collective with which they learned to show solidarity. The use of democratic rights as an individual is still new for the most of the citizens. The acute problems of daily life and rather common distrust on politicians and administration reduce people's interest in direct participation.

Decentralization could form an important measure to enhance service delivery taking into account democratic control and participatory involvement of the local citizens in the decision-making process at the community level.

Decisions of the municipality in any of its bodies like councils, commissions or in the administration are decisions of public authority. This can be expected to be made neutrally and for the benefit of the dwellers of the municipality. This is especially important in the use of public funds and of the municipal property of municipality.

Conclusion

In the article we have briefly regarded 2 basic forms of (self)organization of the local community dwellers, their main difficulties, merits and drawbacks.

The first form is local self-government (usually municipalities), transformed from the former Soviet system of local government.

The second form (or the set of forms) is participation of the citizens in local civil society organizations (community-based organizations) and TCSs (Territorial Community Self-government), actively developing with support of central authorities.

As it is well known, the classic definition of local communities mentions people living at the same territory and sharing the same values. Certainly, the “big” common goal of all the socially-active dwellers consolidating into communities according the territorial criterion is connected with the improvement of their living conditions (“development” of this territory).

Is it possible to consider in principle that the municipalities are historically shaped forms of consolidation of people with the common values according the criterion of territory? Or municipalities only are the transforming version of the state government of the territories remaining from the Soviet system of totalitarian control over the life of its citizens, and the real local communities are now forming around the community-based organizations?

It is clear that there is no univocal answer because life is far more complex than such a simple scheme. The author knows a lot of cases when the municipalities certainly become the center of economic, cultural and social development of the territory. In the other cases (which are also numerous) the local self-government bodies did not change much compared with the Soviet times, only the portraits of Marx and Lenin are lacking at the walls.

The rebuilding of Russia as a democratic and economically vital State involves revitalizing a sense of community, economic development and enabling local residents to participate in local self-government/self-organization. We consider that in present time there is a big need for various local communities to play a greater role in public life and to become a basic structure unifying socially active citizens who are endeavoring to achieve development for their territory.

**Paper Number:** PA021676

**Paper Title:** Community Development Corporations: Data Mining & Nonprofit Classification

**Author(s):**

Ms. Sheryl Romeo, The Urban Institute, Washington, DC, USA

Ms. Linda Lampkin, The Urban Institute, Washington, DC, USA

**Summary of Research**

Community Development Corporations (CDCs) are nonprofit organizations characterized by their community based leadership and their work primarily in housing production, business development, and/or job creation for community residents. There is no established legal definition of CDCs, and no national legal entity that certifies the organization as a CDC. Federal programs that fund CDCs are scattered among many different agencies and each program has different criteria for eligibility.

This paper will explore nontraditional approaches to using the information filed by these organizations with the Internal Revenue Service to help measure breadth and dimensions of these important groups.

**Description**

**Issues to Be Address**

According to a 1998 national census conducted by the National Center for Community Economic Development (NCCED), the trade association and advocate for the community-based development industry, there are an estimated 3,600 CDCs across the United States. Using IRS data from Form Year 1999, 1,559 organizations were listed under NTEE category S20, the prescribed code for CDCs.

The NTEE system is the standard for organizational classification in the nonprofit sector, used by the Internal Revenue Service, the Foundation Center, Independent Sector, and many foundations, as well as researchers. Classification, in the broadest sense, means putting like items together in groups and is traditionally used to assign membership to one group only. Attempting to understand the universe of CDCs using the NTEE highlights a limitation of the system, namely, capturing an organizational type that is diffuse and whose major activities can be found in multiple categories across broad subsectors of the charitable organization world.

□

□The National Center for Charitable Statistics (NCCS), a program of the Urban Institute's Center on Nonprofits and Philanthropy, has long been involved in the development of research tools for the nonprofit sector. Using two classification systems (the National Taxonomy of Exempt Entities or NTEE, focusing on type and purpose of organizations, and the Nonprofit Program Classification System, focusing on their activities), as well as the GuideStar/NCCS National Nonprofit Organization Database, a digitized database of scanned IRS Forms 990 images, this paper will explore the use of nontraditional approaches to understanding the data. Examining non-hierarchical groupings, or topical clusters, within the NTEE, as well as augmenting the NTEE with descriptive information from IRS Forms 990, will serve to highlight more dynamic approaches to organizational classification.

**Topic's Relation to the State of knowledge in the Field**

□Current information on nonprofit classification deals with explanatory treatises on the various systems (NTEE Manual, NAICS Manual, ICNPO-Revision 1996), papers using the systems in linear fashions, i.e. by strict broad organizational categories, and research into the limitations of the data by certain subsectors that cross major groups, such as housing.

**Approach**

□The approach will be to take a finite set of data, in this case, IRS Form 990 information from Form Year 1999, and pull out the following sets:

1. Membership list provided by the NCCED.
2. NTEE category C20.
3. Targeted NTEE categories from Housing, Employment, and Community Development Major Groups.
4. Keyword searches from Organization Name, Organization Purpose, and Program Service Description fields.

The sets will then be reviewed and coded with NPC codes to enhance further analysis. The information will be examined for both comprehensiveness and relevancy.

#### Contribution to the Field

□By using the investigation of Community Development Corporations as an example, this paper will attempt to offer new ways to mine nonprofit data for information. Topical clusters will help researchers compile information both on organization types that span nonprofit subsectors, such as housing, and abuse and violence prevention, as well as organizations providing services to targeted groups, a category type not well defined within the NTEE.

#### Keywords

□Community Development Corporations; classification, NTEE; Nonprofit Program Classification System



**Paper Number:** PA021309

**Paper Title:** New Evidence about Women and Philanthropy

**Author(s):**

Dr. David M. Van Slyke, Georgia State University, Atlanta, GA, USA

Dr. Sarah L Eschholz, Georgia State University, Atlanta, GA, USA

**Summary of Research**

This paper explores women's philanthropic behavior and differences among women by demographic, behavioral, and attitudinal attributes. The question of how women and men differ in their patterns and motivations for giving and volunteering is also examined. This study analyzes public opinion (n=1724) and the data are examined using multivariate analysis to assess whether there are systematic differences between women and men, and among women. Disaggregating the sample by gender reveals that the predictors of giving for men and women are significantly different. The findings have important implications for nonprofit managers and fundraisers.

**Description**

This paper explores women's philanthropic behavior. The question of how women and men differ in their patterns and motivations for giving and volunteering is also examined. Specifically, several questions guided this study. They include:

- How do women differ from men in their giving and volunteering patterns?
- How do women and men differ in their motivations for giving and volunteering?
- How are women different from one another in their patterns of giving and volunteering by race, level of education, income, age, and other demographic characteristics?

There is a dearth of research that systematically analyzes women in terms of giving and volunteering. This study analyzes public opinion data on giving and volunteering administered to 1724 individuals using a fifty-three-question interview instrument.

The data are examined using multivariate analysis to assess whether there are systematic differences between women and men, and among women by race and ethnicity, employment status, education, income, and whether or not they have donated and/or volunteered in the past year. The data are also analyzed across a range of individual characteristics, such as the percent donated, mean amount given, the types of organizations that received donations, specific reasons for giving, information sources used to learn about nonprofit causes, solicitation preferences, and personal expectations from giving and volunteering.

The findings show that both men and women give at comparable rates, and, in models that control for gender, these differences are not significant. Disaggregating the sample by gender, however, reveals that the predictors of giving for men and women are significantly different. The results show that women feel stronger than men about their reasons to give and that receiving information on how their gift is used is more important for women than men. Women of all races cite helping the community as the most important reason to give, with education acting as a strong predictor of both women's giving and volunteering. White women were found to give to a greater number of different types of charities than African American women, and employment increased the variety of charities selected by women for donations. Age, being white, education, being registered as a republican, and religious attendance all were associated with larger donations. Women who felt that it was the government's responsibility to take care of community problems donated smaller amounts.

The findings are important and can support the work of nonprofit managers and fundraisers in better

understanding the motivations of donors and the tools and preferences that can be used to cultivate women donors.

**Paper Number:** PA021412

**Paper Title:** Donor Research Project in Communities of Color and Among Women

**Author(s):**

Dr. Felinda Mottino, Donor Research Project, New York, NY, USA

Dr. Eugene D Miller, Center for the Study of Philanthropy, New York, NY, USA

**Summary of Research**

The Donor Research Project examines donor motivation in communities of color and among women in the New York metropolitan region.

The research has three objectives:

- „h To understand contemporary giving patterns and intent of minority and female donors.
- „h To better understand donor motivation within these groups in order to explore how nonprofit organizations can reach potential donors more effectively.
- „h To analyze the interrelationship among historical circumstances, fundraising, and donor motivations.

The research's central component, interviews with donors, is designed to allow us to assess whether, to what degree, and how these donors are supporting social change.

**Description**

□ Donor Research Project in Communities of Color and Among Women

This is a proposal to present initial findings of the Donor Research Project (DRP). The project, a work-in-progress, examines donor motivation in communities of color and among women in the New York metropolitan region. What follows is a description of the project, several components of which are well underway with other stages scheduled to begin in April 2002. The research plan is fully developed and funded by a grant from the Ford Foundation and by the Coalition for New Philanthropy in New York.

**Introduction**

In New York City communities of color now constitute the majority of the population. The white population has fallen to slightly over one-third; nearly one in ten New Yorkers is Asian American, the black population remains stable at 25 percent, and the Latino population has risen to parallel that of the African-American community. Many suburban counties reflect the same patterns of change. These trends have profound implications for the practice of philanthropy. Yet surprisingly little is known about current giving practices among these groups, such as how and why they give, or the reasons why they are drawn to traditional charities or activities aimed at social change or both.

**Objectives**

The research has three objectives:

- To understand contemporary giving patterns and the motivations of female and minority donors.
- To explore ways in which nonprofit organizations can reach potential donors more effectively and be more effective partners for their donors' philanthropic aspirations.
- To analyze historical patterns of giving within these communities, particularly the interrelationship among historical circumstances, fundraising strategies, and donor motivations.

**Contribution to the field**

The DRP is designed to complement and add to the literature in the field. There have been a number of noteworthy projects that have increased our understanding of donor motivation in communities of color and among women. These include the Cultures of Caring project; the University of San Francisco's Institute for Nonprofit Organization Management's research (Bradford Smith et al.); Independent Sector surveys; the work of the Urban Institute; and the efforts of scholars such as James Joseph, Emmett Carson and Michael O'Neill.

Smith et al. examined charitable behavior among a random sample of individuals (not all of whom were

donors) from eight communities of color in San Francisco. In the Cultures of Caring project, which also focused on communities of color, multiple researchers examined only affluent donors and their patterns of planned giving. Our DRP focuses midway between these two groups;X on individuals who are already donors, but who give moderate amounts of money because they are still young or of somewhat modest means.

Unlike the Independent Sector surveys which rely on survey data and include communities of color within a broad examination of donors in the U.S., the DRP is specifically focused on communities of color and women in the New York metropolitan area. Furthermore the DRP methodology will use open-ended questions in face-to-face interviews, which are designed to probe the donor's immediate and underlying motivations for their gift giving.

The important work of Emmett Carson and James Joseph has helped lay the conceptual and historical ground for the DRP. The expansion of the definition of the term philanthropy to include giving of time as well as money and the positing of the church as the central institutional vehicle of black philanthropy has helped shatter old ideas about philanthropy as the exclusive purview of the wealthy. The multicultural curricula developed by the Center for the Study of Philanthropy helps extend that broad definition of philanthropy to the range of racial, religious, and ethnic groups in the U.S. and is inclusive of women. However, these works are not based on an extensive number of regionally focused in-depth interviews.

They are primarily concerned with establishing the place of philanthropy as a vital element to strengthen community. The DRP in many respects takes this as its starting point and is attempting by its focus on donor motivation to explore how nonprofit organizations in communities of color can be more effective in reaching donors as well as more effective partners for their donors; philanthropic objectives.

The work of Michael O'Neill examines giving patterns in communities of color and, in many respects, its focus is comparable to that of the DRP. Differences lay in the regional (California) focus of O'Neill's work and its reliance on surveys rather than a structured, open-ended interview format. In sum, the DRP is designed to build on the current work in the field. The number of interviews envisioned, 200, is an attempt to systematize an area of knowledge which is characterized by anecdotal information. It is the objective of the researchers to achieve a critical number of interviews that lends itself to meaningful analysis of the data.

### Research Questions

There are four main categories of research questions:

„h What is the intent of donations made by women and persons from communities of color? Is it to sustain existing programs and projects or to generate social and structural change?

„h What do prospective donors respond to in an appeal? What are the emotional/psychological components of giving?

„h What contributes to a donor's decision-making process? To what extent is the gift discussed with family, friends, advisors, business associates?

„h How have patterns of giving changed over time? For example, what were the primary organizational appeals of the 1960s? the 1970? the 1980s? the 1990s?

### Research Stages

The research has four stages:

Literature Review: The literature review will contribute to our understanding of current and historical philanthropic activities and trends among target populations and will provide background information for situating the New York metropolitan area within a broader national context.

Quantitative Overview of Demographic and Economic Data: The demographic data will outline characteristics of each group, such as age, gender (for the communities of color), and migration and immigration patterns. The economic data will provide information on income, occupation, and net worth. Both kinds of data will serve as backdrop for research.

Interviews with Donors (and Professional Intermediaries): This stage will probe donor motivations, and will allow us to assess whether, to what degree, and how donors are supporting social change. The types of information to be gathered include: the nature of support; the types of organizations supported; the type of appeal that prompted each gift; the donor's decision-making process; the donor's giving pattern (whether and how it changed over time) and what motivated the donor to give. Motivation will be explored on two levels: immediate (an ongoing commitment, interest or relationship, a special project, crisis relief, or a political agenda) and underlying (psychological/emotional reasons/feelings of compassion, good

feelings toward the organization, desire to give back to the community, hope to establish one's place as a community leader, religious obligation, or external financial incentives).

Focus-group Meetings with Staff Members from Selected Nonprofit Organizations: The purpose of this stage of the research is to develop profiles of historical giving patterns and related motivations for giving. These profiles, together with information gathered in interviews with donors and professional intermediaries, will contribute to the understanding of what kind of philanthropic campaigns work and why.

#### Analysis

Quantitative: The research will produce a demographic outline, presented within the context of and in comparison to overall demographics obtained from census and economic databases, and a summary of giving-related responses, showing trends and patterns within the DRP sample. This sample will be compared, to the extent possible, with larger demographic data sets on what is known about giving patterns.

Qualitative: Using content analysis techniques, we will tease out nuances and explain donors' motivations by using and interpreting the words of donors and professional intermediary respondents. This approach will produce a qualitative, textured narrative with anecdotal detail and quotations, which will provide insight beyond what the donors did, to how and why they did it.

#### ARNOVA Presentation

As stated, this is a work-in-progress. By Fall 2002 several stages of the research will be completed and it will be appropriate to present preliminary findings of the following:

- „h Literature reviews for all four groups, which will analyze major themes, debates, and current market-related research.

- „h Demographic and economic data sets, which will include results for a number of variables such as population, ethnic breakdown (within groups), generational breakdowns, and household size; for other data, such as income and occupation we will need to wait for the release of additional data by the U.S. Census Bureau.

- „h Interviews with donors and meetings with senior members of nonprofit organizations will be ongoing. We plan to have between 75 and 100 interviews completed by Fall 2002. The interviews will be analyzed on an ongoing basis. It is expected that by Fall 2002 we will have anecdotal information and some preliminary results on donor giving patterns, motivation, and decision-making processes broken down by race, ethnicity, gender, and other variables. This data will constitute the central aspect of our presentation at ARNOVA.

**Paper Number:** PA021501

**Paper Title:** Philanthropy and Nation Building: The Role of Afro-American Philanthropy in America's Nation Building in the 20th Century

**Author(s):**

Mr. Lalatendu Das, Area Specialist and Expert, AAH Inc., Hyderabad, Andhra Pradesh,, India

### **Summary of Research**

Philanthropy in the form of humanitarian aid, voluntary action and social giving has played the role of a powerful social force in transforming, democratising and rationalising American nation in the 20th century. Among all the forms of philanthropy it was Afro-American philanthropy which systematically played a significant role in American nation building process. The Paper intends to examine the social, racial and political transformations of the American nation in the 20th century through the emotional, intellectual and institutional dynamics of Afro-American philanthropy. The study is also important to grapple with the problematic discourse of philanthropy in India.

### **Description**

I. The problem or issue to be addressed:

Philanthropy in the form of humanitarian aid, voluntary action and social giving has played the role of a powerful social force in transforming, democratising and rationalising American nation in the 20th century. The Progressive reform movement, the New Deal reform movement and the civil rights movement were all greatly influenced by the cumulative and gradual support of Afro-American philanthropy, a pertinent point that the scholarly literature often fails to emphasize. Among all the forms of philanthropy it was Afro-American philanthropy which systematically played a significant role with its own principles, formal and informal institutions, and charitable systems which proved to be integral to the concerted assertion of Afro-Americans for self-determination and appropriation of equitable space in American civil society. Its role in strengthening the school and college education of Blacks, elevating institutions for race relations and civil rights, and improving housing and ghetto conditions not only brought a pluralist America closer to integration but also made American nation more committed and strong to fight against the forces contradictory to the principles and practices of American liberalism. Afro-American philanthropy is important because the success of the indigenous philanthropy of this group has deeply influenced the discourse of philanthropy in similar other groups among women, minorities and subalterns in pursuit of their fight for social justice and freedom.

The Afro-American philanthropic tradition had a two-way strategy. On the one hand it contained racism through protest, resistance, and revolt. On the other hand it expanded the base of black self-help through the upliftment of the basic human conditions and dignity of the Afro-Americans. All the measures of humanitarian aid, community development, institution building and empowerment provided Afro-Americans with an organised political, social and cultural agenda to unleash a monumental protest movement in the middle of the 20th century known as civil rights movement which broadened the definition of American civil society through human freedom and justice.

Hence a dialectical interaction can be perceived between Afro-American philanthropy and American nation building in the 20th century which will help us understand -

1. the extent of the involvement of Afro-American philanthropy in American nation building process,
2. the nature of philanthropy involved to ascertain the civil rights and dignity of the Afro-Americans,
3. the methods adopted by Afro-American philanthropy to fight against the forces contradictory to American liberal tradition,
4. the role Afro-American philanthropy played in bringing integration to American race relations, and
5. the impact and influence of the success of Afro-American philanthropy over other indigenous diaspora philanthropic groups in their fight for human rights and social justice.

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

The paper is influenced by the previous scholarship on race relations, Black awakening and Afro-American civil rights as reflected in the writings of Gunnar Myrdal's *An American Dilemma: The Negro Problem and Modern Democracy* (1944), Robert Haws' *The Age of Segregation: Race Relations in the South, 1890-1945*, William L. polard's *A Study of Black Self-Help* (1978), William Chafe's *Civilities and Civil Rights: Greensboro, North Carolina and the Black struggle for Freedom* (1980) and James D.

Anderson's *The Education of Blacks in the South* (1988). And, the current scholarship on Black philanthropy, Black self-determination and Black self-help based on the writings of V.P. Franklin's *Black Self Determination* (1992), Emmett D. Carson's *A Hand Up: Black Philanthropy and Self-Help in America* (1993), Waldemar A. Nielsen's *Inside American Philanthropy* (1996), Colin Palmer's *Topics in Black American Philanthropy Since 1785* (1998), Kathleen D. McCarthy's *Women and Philanthropy in the US, 1790-1990* (1998) and Thomas Kessner's *American Philanthropy, The State and the Public Sector* (1998) has made an indelible impact on the proposed research paper.

III. The approach you will take (including data sources):

Hermeneutical study of the terms of discourse used by Afro-Americans to locate their rightful claims in society through self-help, entrepreneurship and community development will be attempted to appreciate the institutional, intellectual and educational dynamics of Afro-American philanthropy which dialectically played a significant role in the American nation building process.

Literature and Sources:

1. Original documents from the hopes, aspirations, the sense of alienation and frustration of Blacks will be studied to understand the origin and growth of Afro-American philanthropy.

2. The correspondence between Black leaders and Black ordinary citizens on education, self-help, rebelliousness and non-violence in the print media and small time periodicals will be analysed to understand different facets of community building and nation building as the driving forces of Afro-American Philanthropy.

3. Several scholarly books will be consulted. A small list of such books is provided below.

Carson, Emmett D., *A Hand Up: Black Philanthropy and Self-Help in America* (Washington: Joint Center for Political and Economic Studies Press, 1993).

Davis King E., *Fund Raising in the Black Community: History, Feasibility and Conflict* (Metuchen: The Scarecrow Press Inc., 1975).

Eric, Lincoln C. and Mamiya, Lawrence H., *The Black Church in the African American Experience* (Durham: Duke University Press, 1990).

Feinberg, Joel, "The Nature and Value of Rights", Reprinted in his *Rights Justice and the Bounds of Liberty* (Princeton: Princeton University Press, 1980).

Franklin, V.P., *Black Self Determination: A History of American Resistance* (Brooklyn: Lawrence Hill Books, 1992).

Gains, Kevin K., *Uplifting the Race: Black Leadership, Politics and Culture in the Twentieth Century* (Chapel Hill: university of North Carolina Press, 1996).

Graham, Hugh Davis, "Legislature and Civil Society", *Encyclopedia of the American Legislative System*, Vol. III, Ed. Joel H. Silbey (New York: Charles Scribner's Sons, 1994).

Higginbotham, Evelyn Brooks, *Righteous Discontent: The Women's Movement in the Black Baptist Church, 1880-1920* (Cambridge: Harvard University Press, 1993).

King, Martin Luther, Jr., *Why We Cannot Wait* (New York: Signet, 1964).

Marable, Manning, *Black American Politics* (Great Britain: Thetford Press Ltd., 1985).

Martin, Waldo E., Jr., *The Mind of Frederick Douglass* (Chapel Hill: University of North Carolina Press, 1984).

Myrdal Gunnar, *An American Dilemma* (Toronto: Mc Graw Hill, 1964).

Palmer, Collin, *Topics in Black American Philanthropy Since 1785* (New York: City university of New York, 1998).

Pollard, William L., *A Study of Black Self-Help* (San Francisco: R&E Research Associates, Inc., 1978).

Riches, William T. Martin, *The Civil rights Movement* (London: Macmillan, 1997).

Robkin, Jeremy, "A 'Civil Rights' Snare", *New Perspectives*, Vol. 17, No. I (Winter 1985).

Washington, Booker T., *Up From Slavery* (New York: Avon, 1965).

White, John, *Black Leadership in America-1895 to 1968* (London: Longman, 1985).

IV. The contribution to the field your work will make:

The research paper would be a significant addition to present scholarship and literature on diaspora philanthropy, grassroots and community development, and nonprofit advocacy. The research paper will be unique in understanding the deep sense of commitment of Afro-Americans towards self-help, community development, entrepreneurship and racial progress which made America a powerful liberal nation in the world. The study is likely to generate a fresh dialogue between philanthropy and deprived minorities to enrich the civil society of America, a fact which is not without considerable significance for grappling with the problematic discourse of philanthropy and nonprofit sector in the developing countries.

in general and India in particular.



**Paper Number:** PA021695

**Paper Title:** Co-Producing Philanthropic Knowledge in African American Communities

**Author(s):**

Dr. Pier Rogers, New York University, New York, NY, USA

### **Summary of Research**

How do we learn from organizations that are outside of the traditional pool, and who may not fit the traditional frame of reference?

In this paper, we will explore the giving and serving traditions that are revealed when we begin inside the framework of the culture itself, instead of taking the perspective of the traditional philanthropic models.

### **Description**

The philanthropic world was required to make a major paradigm shift concerning the location of philanthropy in the wake of Emmett Carson's groundbreaking study in the mid-1980s. Through a national survey, which oversampled blacks for the first time, he demonstrated the extent of giving and volunteering in the black community. Before that study, "black philanthropy" was an oxymoron. The philanthropic community did not consider philanthropy to exist within the black community – except to the extent that the community was the recipient of philanthropic largess from the dominant society.

Philanthropy was considered a foreign concept within the black community as well, but only due to the narrowness of its conceptualization. The extensive history of giving and serving by churches, fraternities and sororities, professional associations and many other membership organizations was well known. However, this giving and serving was never called "philanthropy".

It took a person from within the black community, who was familiar with those traditions and who subsequently chose to study philanthropy, to uncover and document "black philanthropy". How did such blindness to this rich tradition occur?

Carl Milofsky, in a 1997 NVSQ (v.26, no.2, June 1997) editorial, acknowledged that most nonprofit researchers do not "see" most of the organizations (and likewise their work) that researchers believe exist. He suggests that the researchers' frame of reference is an exclusive one (for many reasons that I will not discuss here). From his observations, we can suggest a vicious cycle of research. It begins with the limited frame of reference which precludes researchers from "seeing" many organizations (many of which are in communities of color). Therefore, these organizations are not "studied". Their absence from the pool of nonprofit organizations that have been the object of examination serves to decrease their importance to funders. The funders in turn do not commit resources for their examination. This perpetuates the belief that these organizations and their work are not significant.

Breaking this cycle is the important issue. How do we learn from organizations that are outside of the traditional pool, and who may not fit the traditional frame of reference?

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In this paper, we will explore the giving and serving traditions that are revealed when we begin inside the framework of the culture itself, instead of taking the perspective of the traditional philanthropic models.

We will start from the "diverse" tradition itself, instead of starting from the western base of philanthropy.

This base defines philanthropy, sets out a number of philanthropic instruments as the appropriate conduits, and then searches for a match within societal groups in an effort to “diversify” through acknowledging different traditions. Where a match exists, it is declared that philanthropic traditions are present. The philanthropic world has in recent years, begun to “translate” the giving traditions of different ethnic groups into comparable Western forms (see Joseph, 1995; Council on Foundations, 1999; Bradford Smith, et al, 1994; Hall-Russell & Kasbert, 1997; Rogers, 2001). However, we are concerned with what may be lost in understanding the tradition simply through translating it into its closest Western philanthropic form.

We ask these questions, and we look to the black philanthropic community for answers. However, we will use a different frame of reference. To accomplish that objective, we employ a model called, “Co-Producing Knowledge,” that was conceived by Professor Walter Stafford of the Wagner School at New York University.

In using the “co-production” model, we can acknowledge the ways that African American giving traditions are already linked to the concepts of affiliation and to fairness/equity. The value for fairness/equity signifies valuing change. African Americans have historically offered resources of personal time, energy, financial resources, in-kind resources to support initiatives that would engender changes in the socio-economic conditions of individuals, groups, families, businesses, and their communities. There was always a connection – a deep commitment – that provided the incentive to give. Giving out of such a deep commitment is one form or motivation for giving according to the western philanthropic models. [There are other motivations for giving, but the deep commitment due to a personal connection of some sort has been the key for giving within the black community. Those personal connections have been due to: familial ties, friendship, deep empathy out of a common experience, tradition of “giving back”. ]

I will briefly describe the “co-production” model, and then return to discuss some of the learning we obtain in applying this model to philanthropy, particularly in the African American community.

The co-production model seeks to generate new knowledge that accomplishes several objectives: 1) guides new conceptions of public policies and governmental services generally, in a manner that considers the needs of groups of color; 2) democratizes or

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increases the fairness of the discussions of the larger civil society that is dominated by white institutions; 3) energizes and provides “better” information into civil societies of color, so as to diminish the negative influences which keep them feeling “victimized” due to the “colonization of their life-worlds”; 4) develops strategies for including the stories of communities of color into the policy and program generation process; 5) creates a new cadre of policy analysts who can navigate the public policy, governmental and academic institutions in a fair and just manner. (Stafford, Fall 2001 – “Notes for Co-Production Class”)

The model itself can be described as a four-step process: 1) examine how public service (i.e. instrumental) knowledge is produced; 2) examine the arena of solidarity knowledge (the stories/knowledge within communities of color about the particular issue/topic); 3) critique and combine these two knowledge arenas through critical social science; 4) reshape the decision-making process to engage the civil societies with one another and the “state”.

In order to apply this co-production model to the world of philanthropy, particularly within the African American community, I suggest the following process:

1) □ Examine the ways that traditional philanthropy places great value on efficiency (the instrumental paradigm). Examine the stated or assumed end goal of raising funds from discretionary sources in households. This goal assumes a certain degree of affluence; that the potential donor is familiar with the language and instruments of philanthropy; that the potential donor is interested in a predetermined set of rewards in exchange for the contribution.

2)□ Assess the solidarity knowledge arena. Here we seek ways to draw upon the experiences of African American philanthropists, fundraising professionals, and leaders of black community based organizations. They have the greatest expertise in engaging the many forms of black philanthropy, as well as addressing the barriers, and challenges to its growth and development. Their stories are rich with information that can be utilized in ways that might be missed if they were asked to report on the black community's utilization of specific philanthropic instruments e.g. endowments, charitable trusts and the like.

3)□ Engage in a process of critical self-reflection. Seek to extract information about the barriers and challenges specifically in the field of philanthropy. What has worked or has not worked. How does giving and serving operate in positive and negative terms within the black community? What strategies for change and improvement can be developed and implemented?

4)□ Utilize a deliberative democratic process. This aspect of the process engages the collective group of individuals who are involved with a particular issue. Here it would mean involving at least a group of professionals who are involved in the work of black philanthropy. The end goal involves attaining a COMMON good, rather than an individual end goal that is sought by the expression of personal preferences and demands. I cannot fulfill this step of the process in the context of the research for this paper. It would entail a collective process of planning for a strategic

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philanthropic direction within the African American community. What we can do is suggest the parameters of such a process. (from 1/7/02 – “operationalizing the co-production model”)

Through utilizing this process, we have begun to extract more information about the nature of giving and serving in the African American community, including some of the challenges and opportunities.

To date, we have learned that:

Ø□ Black communities have new challenges for generating giving, since they are geographically dispersed, and many individuals no longer live in predominantly black communities at all.

Ø□ Giving within black communities tends to be widely fragmented, since innumerable organizations establish their own vehicles to generate funds for such purposes as scholarships; specific programs like after school projects; building mortgages and other church expenses. Hence economies of scale are not achieved, but could greatly enhance the giving capabilities within black communities.

Ø□ There appears to be a few issues that are generally accepted as high priority, such as education and racial profiling.

Ø□ The strong civic traditions that form the backbone of the African American community are a “natural” resource upon which to draw when seeking to increase philanthropic giving.

Upon completion of a series of interviews now underway, I will have many other “stories” from which to draw material that will greatly enhance our understanding of philanthropy within the African American community, and its contributions to civil society.

**Paper Number:** PA021253

**Paper Title:** Multiple Stakeholder Perceptions of Desirable Human Services Management Skills

**Author(s):**

Dr. Richard A. Hoefer, University of Texas at Arlington, Arlington, TX, USA

Dr. Cathleen Jordan, University of Texas at Arlington, Arlington, TX, USA

**Summary of Research**

Student perceptions are an underutilized input into the educational process for nonprofit managers. This paper presents data relating to MSW students' perceptions of important management skills and degrees for administrators at different levels of the organization. Data show considerable agreement between student perceptions of what are important skills and perceptions of nonprofit administrators, government administrators and educators in social work and public administration. Social work student responses concerning "best degree" are skewed, but are not uniformly in favor of the MSW. Implications of these results are discussed.

**Description**

**Problem Addressed**

Despite at least a decade and a half of discussion, the question of where nonprofit managers "should" be educated is unresolved. Recent work describes advantages and disadvantages of the current placement of educational opportunities, but debate continues. One important perspective that is rarely incorporated into the debate is that of students. This paper includes data from students beginning their Master's education in social work who are enrolled in a required course in "macro practice." This information is then compared with data from earlier research with nonprofit human service administrators, social work faculty, public administration faculty and administrators in a large governmental human services organization.

**Literature Review**

Mirabella and Wish have recently published articles describing graduate education programs for nonprofit managers and the pros and cons of placement in various academic settings (Mirabella and Wish, 1999; Mirabella and Wish, 2000; Wish and Mirabella, 1998). Others have also contributed to this debate over the years (see, for example, Hart, 1988; Hoefer, 1993A and 1993B; O'Neal, 1999; Salamon, 1999; Smith, 2000; Young, 1999). Some of the early literature in the "best place" debate concentrates on conceptual arguments more than empirical research (Cupaiuolo & Dowling, 1983; Cupaiuolo & Miringoff, 1988; Faherty, 1987; Hart, 1988; National Association of Schools of Public Affairs and Administration, 1987) which, while a necessary starting point, quickly reached the limits of its usefulness.

Recent research into the topic moved towards empirical study of the issues and opinions involved. Hoefer (1993A) asked nonprofit managers what skills they believed were needed at different levels of human service nonprofit administration and which degree would be best. Wish and Mirabella's (1998) work in gathering information on curricula and comparing the strengths and weaknesses of various approaches lays a vital groundwork for improved understanding of the "street-level" information provided to students. Later work (Mirabella and Wish, 1999 and 2000) provide stakeholder information about "best degrees" in a way similar to Hoefer (1993A and 1993B). While the argument is still in flux, Mirabella and Wish (2000) argue that educational programs for nonprofit managers may need to concentrate less on internal management techniques and focus more on external organizational relationships.

Wilson and Larson (2001) explicitly take student perspectives into account. Still, their research focuses primarily on why students enter a nonprofit management program, their reasons for choosing one program over another and how satisfied they are with their choice.

### Approach Taken

Many questions remain unanswered in the literature. As shown by Mirabella and Wish (2000 and 1999), it is important to stay abreast of current needs as expressed by major stakeholders. Using Hoefer's (1993A, 1993B and 2001) survey approach, this paper will focus on incorporating student data into the discussion on best degrees and job skills needed.

While the answer to "Which is the best curriculum and degree for nonprofit managers?" may never be able to be answered by empirical data alone, the accumulation of stakeholder opinions will likely prove helpful in improving the educational choices of future students, no matter which option they choose. Student opinion may also be useful for programs seeking to attract students. It certainly will be important in designing curricula, if only to address discrepancies between student perceptions and what "real world" administrators consider most important.

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**Paper Number:** PA021489

**Paper Title:** Mapping and Exploring the Bonds Facilitated by the Leadership Fellows Program: New Community Linkages Between and Within Latino and African American Community-based

**Author(s):**

Dr. Erna Gelles, Institute for Nonprofit Management, Portland State University, Portland, OR, USA

Mr. Oscar Sweeten-Lopez, Oregon Council for Hispanic Advancement, Portland, OR, USA

Dr. Meg Merrick, Coordinator Community Geography Project, Institute of Portland Metropolitan Studies,

Ms. Felesia Otis, Program Director, Women's Residential Center, Volunteers of America Or, Portland, O

**Summary of Research**

Using GIS technology, this paper maps the relationships that have developed and are attributable to the Leadership Fellows Program for Oregon leaders of color. Data collected at a June 2002 retreat and the geographic distribution of the civic capacity represented by the Leadership Fellows Program is depicted. The linkages explored include: locations of the Fellow's organizations by type; Fellow membership on governing boards; and organization service areas by client and activity type as well as informal community activities. This paper will also incorporate storytelling to clarify implications of the linkages and the meaning of this cross-cultural professionalism for the Fellows.

**Description**

Framing the Issue to be Addressed (description of the program that has led to the mapping research)

For four years the Institute for Nonprofit Management at Portland State University, in collaboration with members of Portland Oregon's Latino and African American communities and their leaders, has been involved in a community-based leadership development initiative. This initiative, funded by the David and Lucile Packard and W.K. Kellogg Foundations, is called the Leadership Fellows Program (LFP). Designed by members of the broader Portland community with the Institute, this program reflects an intentional and systematic effort to identify and educate potential and emerging leaders of color, with a focus on their development and eventual transitions into executive positions in nonprofit organizations. For those nominated as Fellows who are currently serving in executive positions, the program provides additional leadership education and opportunities for community interaction in a non-competitive environment designed to build trust and shared exposure to leadership issues and values.

The initiative is specifically designed to focus on leadership, transitions and succession in ways that reflect the specific strengths and needs of communities of color. It acknowledges and addresses the problems that result when too often minority communities are forced to behave competitively for limited public and foundation resources and have, as a result, rarely had opportunities to develop trust and seek collaboration between their organizations and client population programs.

Over the past three years, divided into three separate classes, the program has brought over 75 identifiably talented new and emerging leaders together to explore the meaning of nonprofit work at the personal, team, organizational and community levels. Following a one week Summer Residential Immersion Program, each class of Leadership Fellows comes together again over a two year period for monthly training sessions and two two-day retreats to check in with one another, share work life experiences and be trained in an array of management and leadership areas.

Whenever possible leaders of color deliver training sessions and the environment of trust that this encourages is, as program evaluations indicate again and again, substantial. The focus of the program is threefold: to develop leaders in and serving communities of color; to "grow our own" leaders for succession within the community's organizations; and to develop a sense of community overall among critical yet often competitive organizations and their leaders engaged in serving clients with distinctive cultural backgrounds yet similar needs.

Topic's relation to the state of knowledge in the field

Since 1999 members of classes I, II, and III have met in differing venues to explore common issues and to share in the program's development. Each class has its own "personality," and the Fellows overall have developed a sense of belonging to a professional group of committed colleagues devoted to community service. While this may sound like many traditional leadership programs, it varies substantially in important ways. Its focus on bringing members of diverse communities together to explore values, and discuss ethics and issues of common need and common ground gives the program what others around the country call a truly unique and important quality. Reports to the W. K. Kellogg Foundation's Connecting Strategies grant program address this, particularly those between INPM and its California State University Los Angeles academic partners about the need to make this program portable since "nothing else like it exists anywhere (Soriano, M. Class II debriefing in Portland, OR, August 2000)." We are currently engaged in a literature search to corroborate or disconfirm this assessment, but our initial review suggests that the qualities of this program and its outcomes are unique in ways that need to be shared with both our academic and practitioner colleagues.

The approach we will take (including data sources)

Now, three years after its commencement, a program development committee of the Fellows, having identified a recurring sequence of both formal and informal collaborative ventures as well as community encounters often made easier when other Fellows are present have decided to map, using geographic information systems (GIS) technology, the relationships that seem to be developing and are potentially attributable to the program. This paper is a first cut at exploring the various relationships and their implications for individuals and the community.

At a June 2002 retreat in a three hour workshop 40-50 individuals from the second and third classes of Fellows will lay out their individual and community-linked activities in a community mapping exercise. Among the foci of exploration will be a cross listing of the 501 (c)(3) organizations for which the individuals work and with which they volunteer.

In order to identify relationships, patterns, and the geographic distribution of the civic capacity that is represented by these relationships, we will map and overlay the following:

- § Locations of the Fellows' organizations by type
- § Locations and types of the Boards on which Fellows serve
- § Service areas by client type (gender, race, language, age, etc.)
- § Service area by activity type
- § Locations wherein informal relationships are developing

The mapping will also include the organizations for which Fellows volunteer and the collaborative program activities in which they've engaged since becoming Fellows. We know from simply conversations that the inter-relationships are growing, client populations are in some cases for the first time interacting and sharing in programs, and professional linkages are strengthening. These serve the community's clients, but also, in an overarching way serve the metropolitan and contiguous rural communities at large: Latino, African American and other communities, both of color and not of color, particularly those public sector entities engaged in service delivery through these organizations and their publics.

This paper will not only explore and present a physical mapping of the linkages identified, but will incorporate story-telling to clarify implications of the linkages and the meaning of this cross-cultural professionalism for the Fellows.

The contribution to the field this work will make

As with the prior discussion of portability, this community program mapping will provide real information about the program's impact community-wide not readily captured in traditional program evaluations. The

findings will have both internal and external value. We expect that they will confirm the gestalt that program participants have felt about the growing impact of the Leadership Fellows Program community-wide and will be energizing to the Fellows as they explore ways to sustain this program beyond its funding cycle, a process they have already begun. We expect, too, that it will confirm the positive impact that the W. K. Kellogg and David and Lucile Packard Foundations have had in supporting this kind of innovative, albeit complicated programming. Externally, we expect to be able to share the benefits of using the GIS mapping process for this variation on asset mapping. In addition, we expect that the visuals developed using the GIS technology will allow us to discuss the impact of this program, for our communities, beyond the benefit to individuals and separate organizations that are the foundation of traditional leadership programs.



**Paper Number:** PA021549

**Paper Title:** Legitimacy, Location, and Leadership: A Report on the Organization and Role of Nonprofit Management Outreach Centers

**Author(s):**

Dr. David Renz, University of Missouri - Kansas City, Kansas City, MO, USA

Dr. Roseanne Mirabella, Seton Hall University, South Orange, NJ, USA

**Summary of Research**

Many institutions have established outreach centers to address the management and technical assistance needs of their local nonprofit community. This paper expands on the authors' earlier research and reports on nonprofit management outreach centers housed in regional institutions, examining their relationships to their home institutions, to explain (a) how and where such centers have developed; (b) how fully and in what ways they have developed; (c) their sustainability, legitimacy, and centrality; and (d) their engagement with the nonprofit community. This paper explores the relevance of institutional placement to the success and survival of the outreach center.

**Description**

□ Many colleges and universities have established outreach programs or centers to address the management education and technical assistance needs of their local community of nonprofit organizations. At least seventy-six institutions throughout the U.S. provide non-credit courses for executive directors, staff, and trustees of nonprofit organizations; Many have developed in other regions of the world, as well. In the U.S., there are six universities that award an undergraduate and graduate degree with nonprofit courses in addition to housing an outreach component; another fourteen that house both an undergraduate and an outreach program; and twenty-nine universities that include both a graduate degree and an outreach program. More than twenty-nine additional colleges and universities have outreach programs with no linkage to a degree program of any level (data from Mirabella and Wish, 1999). Although the proliferation of these programs and centers is extensive, very little is known about their design, location, size, or how they operate.

□ This paper expands on the authors' earlier research and reports on nonprofit management outreach centers and their relationships to their home institutions, to examine and document (a) how and where such centers have developed; (b) how fully and in what ways they have developed; (c) their relationship with their host institution (including degrees of perceived sustainability, and their legitimacy and centrality within the institution); and (d) their relationship and degree of engagement with their broader nonprofit community. This paper explores the relevance of institutional placement to the success and survival of the outreach center, the factors that relate to their location within the institution (e.g., in a degree program, and type of program), and whether certain forms of institutional structure perceived to be more successful than others. It also will examine how these outreach centers relate to broader institutional missions, including the overall nature and level of community engagement of the larger institution.

□ This paper examines the relative prevalence of specific models for placement and operation of such centers within institutions, presenting findings from a set of telephone survey interviews of directors of U.S.-based nonprofit management outreach centers. In earlier papers, the authors have reported on the characteristics, placements, and linkages of the most fully developed centers -- those affiliated with the Nonprofit Academic Centers Council (NACC) -- which are based in larger, nationally-known universities. This paper reports on the subpopulation of nonprofit management outreach centers that are based in smaller, mostly regionally-based universities and colleges. Using the same methods and semi-structured interview schedules as used for NACC centers, comparable data is being gathered from these regional centers. This paper will report the descriptive and comparative information from these centers, as well as compare and contrast the results with that from earlier NACC-centers research.

□ The paper will include center directors' judgments about several aspects of center role and inclusion within their institutions, including (a) the degree to which each center is institutionalized or at risk within

their institution, (b) the funding and financing arrangements for the outreach unit and the relationship of such arrangements to institutional placement, (c) identification of critical factors identified by directors as critical to the long-term survival and sustainability of their outreach programs; and (d) the relationship, if any, that exists between the nonprofit outreach center and the host institution's orientation toward community engagement. These and other questions will be related to institutional and external support for nonprofit management outreach programs.

□ This paper builds on a small but growing body of literature examining the “best place” for nonprofit management development centers and programs (e.g., Mirabella and Wish, 1999, Mirabella, 2001), and links the study of these centers with the growing body of literature regarding the changing role of community outreach and the scholarship of engagement, particularly as practiced in metropolitan institutions of higher education. There is essentially no other research underway that examines this particular intersection of issues.

□ This paper also builds on the very limited body of writing (primarily produced by nonprofit outreach program funders) on the nature and development of university-based nonprofit management outreach centers (e.g., recent self-published reports by the Kellogg Foundation). This paper continues the path-breaking work of the authors' earlier reports by continuing the exploration and examination of the practices and implications of nonprofit management outreach centers and programs for larger institutional innovation and change, particularly with regard to helping (or hindering) institutions in their efforts to engage or re-engage with their communities. There is very little data or writing on this subject, to date, and this paper will provide an important foundation for future research by the authors and others in the field of nonprofit management education.

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**Paper Number:** PA021331

**Paper Title:** Web Adoption by Nonprofit Organizations in Rural Ohio

**Author(s):**

Tomoko Kanayama, Ohio University, Athens, OH, USA

### **Summary of Research**

This study develops a better understanding as to why and how nonprofit organizations in Appalachia adopt the World Wide Web (Web). Nonprofit organizations adopt the Web in response to pressures from task environment. However, since nonprofit sector issues such as capacity, confidentiality, and legitimacy present unique challenges regarding the adoption of Web technology, institutional pressures may influence Web use as well. Through the integration of resource dependency theory, institutional theory, and strategic choice, this study revealed that both task and institutional pressures influenced the Web adoption by the nonprofit organizations.

### **Description**

This study develops a better understanding as to why and how nonprofit organizations in Appalachia adopt the World Wide Web (Web). It has been argued that the Web helps nonprofit organizations to obtain resources needed in order to adapt to environmental pressures such as diminishing financial resources, increasing demands for service delivery, and the growing need for volunteer labor (Bograd, 1997; Hall, 2000; Johnston, 1999; Wallace, 2001). Recently, both scholars and practitioners are paying more attention to the adoption of information technology (IT) in the nonprofit sector. However, these studies are surprisingly limited in number. The main focus of existing studies has been to learn the characteristics of organizations that use IT and those that do not. This research has focused primarily on examining the relationship between the adoption of technology and organizational characteristics such as size, IT investment, IT personnel, and history of innovation adoption (Zimmer, 2001). IT adoption in smaller nonprofit organizations or nonprofits in rural areas has failed to attract the attention of scholars and practitioners.

Nonprofit sector issues such as capacity, confidentiality, and legitimacy present unique challenges regarding the adoption of Web technology. As noted above, nonprofit organizations adopt the Web in response to pressures from task environment. It is also the case however, that institutional pressures may influence Web use. Meyer and Rowan (1977) note "technologies are institutionalized and become myths binding on organizations" such institutionalized techniques establish an organization as appropriate, rational, and modern" (p.344). Thus, the adoption of the new technology can "be predicted from rational or technical considerations but that after the innovation has been institutionalized, such factors account for less (if any) of the variance in adoption and acceptance" (Pfeffer, 1982, p.246). What is interesting to note, however, is that no existing empirical study focuses on the ways in which institutional pressures might influence adoption of the Web.

This study makes an important contribution to the literature in that it identifies factors from both task and institutional environments that influence the adoption processes of the Web in nonprofit organizations. This study integrates three organizational theories: resource dependency theory (Pfeffer & Salancik, 1978), institutional theory (DiMaggio & Powell, 1983; Powell & DiMaggio, 1991), strategic choice (Child, 1972). A resource dependence perspective is useful in explaining the role of external resource providers in altering the technological capacity of nonprofit organizations. Institutional theory helps focus attention on the ways in which organizational structure and processes reflect institutional pressures, rules, norms, and sanctions. Theoretical attention to the strategic choice literature helps us understand how managers process competing pressures from the task and institutional environments when they make decisions.

This research uses a multiple case study approach. This methodology is appropriate for this study because case studies are typically used "when the issues under investigation are complex, multifaceted, and highly contextual" (Powell & Friedkin, 1987, p.183). The sample consists of five small nonprofit organizations in rural Appalachia. The sample is important because the Web adoption practices for

smaller, rural nonprofits have to this date not been studied and because this group of organizations is recognized as being disadvantaged in adopting new technology. Each of the five organizations is community-based and has their own Web site. The organizations vary in terms of service area (one human service organization, one arts organization, one organization focused on animals, and two economic development organizations). Data for this research came from a series of in-depth interviews with nonprofit executives and/or the persons who were involved in implementing the Web technology for the organization.

This study has relevance and value to scholars as well as practitioners. This research makes an important contribution in three main ways. First, through the integration of multiple theoretical perspectives, this study can provide richer explanation of new technology use in the nonprofit sector, thus contributing to the literature on both communication technology and organization theory. Second, it identifies the unique issues confronting nonprofits and the use of web-based technology. Third, it provides useful information to other nonprofit organizations that may be struggling to overcome implementation problems, and identifies innovative ways nonprofit organizations have used the Web.

Key Words: Internet, Web, Resource Dependency Theory, Institutional Theory

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**Paper Number:** PA021388

**Paper Title:** An Analysis of the Knowledge Networks Among Members of A Community-Wide Service Learning Alliance

**Author(s):**

Dr. Wendy Wintermute, Western Michigan University, Kalamazoo, MI, USA

Ratnadeep Suri, Western Michigan University, Kalamazoo, MI, USA

### **Summary of Research**

As community-campus partnerships proliferate, the value of community-wide networks to support, coordinate and monitor these disparate efforts becomes evident, as does the need for tools to track, support and access the knowledge generated by such networks. This study employed a computer-mediated network analysis method to assess the communication and partnership linkages in a community-campus consortium to promote community service learning. The method is useful not only for research, but also as a tool to support easy and affordable access to the full range of knowledge and other resources represented by the network of campus-community partnerships efforts.

### **Description**

As campus-community partnerships continue to proliferate, we believe other communities will identify, as ours has, an emerging need for community-wide networks to support, coordinate, track and disseminate the results of a multitude of such partnerships. This, in turn, raises the need for a methodology suited for analyzing such networks and for providing ready identification of and access to network members, their expertise, and other resources generated by the network of partnerships. This study provides a pilot test of one such method for analyzing and supporting community knowledge networks.

The Kalamazoo Alliance for Service Learning (KASL) is a collaborative venture of the four institutions of higher education in Kalamazoo, Michigan, together with key community partners. These schools include a private university, a private undergraduate liberal arts college, a community college, and a large, regional public university. Community organizations represent a broad and diverse range of mission, size, affiliation and areas of activity. The goal of the alliance is to encourage inter-organizational communication and collaboration around community service learning. This increased collaboration is expected to enable these organizations to more effectively identify and address local social issues, facilitate and coordinate service-learning projects and other forms of partnerships, and to help create and shape a community-wide service learning agenda and implementation system. In the process of implementation, KASL discovered its potential to serve as a platform for sharing knowledge and resources among educational and community organizations. In short, KASL discovered its potential for helping to create a "knowledge network."

An emerging body of literature touts the importance of knowledge networks as mechanisms for coordinating the efforts of organizations and communities to identify and sustain developmental action, undertake joint research, and engage various sectors of the society in developmental efforts. Knowledge networks facilitate the task of (1) seeking knowledge and information, (2) identifying and sharing resources, and (3) bringing about a synergy of skills and resources (The International Institute of Sustainable Development, 2001). In order to develop a long-term strategy to build a knowledge resource network among its participating organizations, KASL commissioned a knowledge network study to analyze its existing inter-organizational environment and to map current patterns of knowledge sharing and knowledge distribution within the KASL network.

Although the concepts and methods of network analysis have been in use for decades, recent use of computer-mediated mathematical theories and models have provided very efficient tools to quantify and graphically depict the properties of even very large networks (Wasserman & Faust, 1994; Galaskiwickz & Krohn, 1994; Krebs, 1998). Using computer-mediated network analysis tools, this study examined the networks of information exchanges and partnership linkages among the 59 members of the Kalamazoo Alliance for Service Learning.

The study found that the level of communication and collaboration among KASL network organizations is moderate. Numerous opportunities exist for bridging disconnects and integrating peripheral agencies more fully into information exchanges and partnerships. The study also identified a number of organizations that scored high on measures of network connectivity and centrality, in short, information network "brokers" and partnership "matchmakers." These critical roles are often "invisible," hence difficult to attract support. The network analysis makes these organizations, their connections, and partnership roles visible.

Overall, the findings suggests a fragmented environment, where information about actors, expertise, interests, and needs is not generally or readily available. Fortunately, the same methodology and data used for the research can also be tapped by a new form of software called "communityware" (Contractor, O'Keefe & Jones, 1997; Kautz, Selman, & Shah, 1997). These programs use internet technology to enable community organizations to enter and update their own organizational assets and interests, as well as to efficiently identify other organizations within the community that share complementary interests, or possess required knowledge and skills, hence representing potential partners. In addition, community organizations can literally see how organizations are connected to each other through exchanges of information and other resources, or in working partnerships. In other words, the program allows organizations and actors to "discern their community's knowledge networks," and determine not only "who knows what" and "who knows who," but also "who knows who know who/what." (Contractor & Bishop, 2000; Contractor, O'Keefe, & Jones, 1997).

Based on the findings of this pilot study, the second phase of this project was initiated within a short span of time and is presently under execution. It involves the customization of a "communityware" tool that will provide the KASL network -- and other community members -- with access to an interactive, collaborative, and current map of the resource and knowledge assets available to forge, support, and coordinate successful service-learning partnerships throughout the Kalamazoo community. The Building Bridges Program at Western Michigan University has assumed responsibility for initiating the project with technical support and assistance from the Department of Speech Communication, at the University of Illinois, Urbana-Champaign.

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**Paper Number:** PA021496

**Paper Title:** Evaluating the Web Presence of Voluntary Sector Organizations: An Assessment of Canadian Web Sites

**Author(s):**

Professor Wendy Cukier, Ryerson University, Toronto, Ontario, CAN

Dr. Catherine Middleton, Ryerson University, Toronto, Ontario, CAN

**Summary of Research**

This paper investigate the web presence of voluntary sector organizations in Canada. Many Canadian nonprofits operate web sites, but this research shows that these sites currently offer limited functionality, and thus do not fully engage their intended audiences. The paper draws lessons from information technology theory and practice to demonstrate how the functionality of voluntary sector web sites (in Canada and beyond) can be improved, to better support organizational objectives.

**Description**

The Canadian voluntary sector is considered to be "one of the most connected in the world" (Pargemegiani & Sachdeva, 2000), yet there is very little current academic research that explores how Canadian voluntary sector organizations are actually making use of such internet connectivity. A recent survey indicated that 66% of Canadian charitable organizations believe that "the Internet is changing the way voluntary organizations are operating" (EKOS Research Associates, 2001), and it is generally accepted that access to information technologies and the internet will be of benefit to organizations in the voluntary sector (Burt & Taylor, 2000; Eisner et al., 2001). It is also evident, however, that nonprofit organizations have yet to fully realize the benefits of adopting internet and information technologies (EKOS Research Associates, 2001; Independent Sector, 2001).

The purpose of this paper is to investigate the web presence of voluntary sector organizations in Canada. The paper addresses three specific research questions: i) Are Canadian voluntary sector organizations establishing and using web sites?; ii) For those organizations that have established web sites, what purposes are these web sites serving? What are these organizations offering through their web sites?; and iii) How can Canadian voluntary sector organizations improve their usage of web sites?

The paper makes contributions to both the voluntary sector and information technology literatures. The authors are aware of just one comprehensive study that looks at how Canadian nonprofit organizations are adopting information technologies and using the internet (EKOS Research Associates, 2001), and note the paucity of similar large scale studies elsewhere in the world. (For example, a recent UK study (Saxton & Game, 2001) reports on internet usage by 75 charitable organizations, as compared to the 917 organizations studied by EKOS.) The EKOS study offers aggregate level data only, and does not assess the how individual organizations are using their web sites.

In the information technology field, researchers have done much work in the area of web site assessment ( see for example Barnes & Vidgen, 2000; Katerattanakul & Siau, 1999; Schubert & Dettling, 2002; Zhang & von Dran, 2001), but with the exception of some work on government web sites (e.g. Gant & Gant, 2002), there has been scant attention paid to web sites developed for, and used by, non-business organizations. This paper integrates information technology-based theory on developing effective web sites with data on current voluntary sector practices, to suggest how voluntary sector organizations (in Canada and beyond) can make better use of internet technologies.

The authors have developed an assessment tool (modified from Grant & Prescod, 2001) appropriate for examining voluntary sector web sites. To date, data have been collected from 185 Canadian nonprofit web sites, drawn from a list of members of the Canadian Centre for Philanthropy (<http://www.ccp.ca/information/links.html>). Data are collected by the research team by directly examining web sites, they are not collected by surveying organizations about their web sites. It is anticipated that additional data will be gathered and analyzed before the final results are presented at this year's

ARNOVA conference.

The initial data show that many Canadian voluntary sector organizations are creating and using web sites. The Canadian Centre for Philanthropy lists over 700 members who have web sites, thus it is clear that Canadian nonprofits are using the web. What the EKOS data show however, is that web presence is related to organizational revenue. 60% of organizations with annual revenues in excess of \$500,000 currently have web sites, compared to only 24% of those with revenues less than \$100,000 (EKOS Research Associates, 2001). Questions as to what types of voluntary sector organizations are establishing web sites will be examined further in this paper, along with the issue of whether specific types of voluntary sector organizations develop web sites for particular purposes.

To answer the second research question outlined above, this study investigates eight different activities and services that can be delivered to web site users: provision of information; organizational promotion; fundraising; advocacy support; member support; media support; community development and volunteer recruitment. The initial results show that only information provision and organizational promotion are widely available, offered by more than 80% of the sites. In contrast, less than 3% of sites offer full support for advocacy (e.g. online petitions or direct e-mail links to politicians). Approximately 35% of sites offer some support for online fundraising (e.g. information to facilitate donations or acceptance of online donations).

In addition, preliminary data show that sites are not doing a good job of building relationships with users, or at developing online communities. For example, more than 40% of sites do not actively engage the user, and less than half allow for any sort of personalization by the user. 90% of sites do not offer opportunities to provide feedback or contribute to the site, and more than 50% of organizations took longer than 5 days to respond to e-mail enquiries.

One initial lesson that can be drawn when combining the data on Canadian voluntary sector web sites with insights from information technology theory relates to the types of activities and services offered to web site users. Research by Zhang and von Dran (2001) applies a model of customer expectations developed by a Japanese consultant (Kano et al., 1984) to show how, over time, features that were once considered novelties on web sites (e.g. sophisticated navigation tools, interactive features) become demanded and expected as basic features. Voluntary sector organizations understand that it is important to engage their potential web audiences, but the features that are currently the most widely available on Canadian nonprofit sites (i.e. information provision and organizational promotion) are not ones that offer the potential for ongoing audience engagement. It is essential to provide features that go beyond the target audience's basic expectations, yet voluntary sector web sites are not generally doing this. Zhang and von Dran's research also shows that the expectations for site features varies dependent upon the purpose of the site. Their findings can be applied to voluntary sector web sites to determine what features will be most likely to engage their audiences. This is just one example of how voluntary sector organizations can improve their web presence, based on an understanding of their existing offerings and their organizational purpose, combined with lessons from theories of web site quality and functionality.

This paper offers a detailed examination of how Canadian voluntary sector organizations are using their web sites. Drawing on information technology theory and practice, it outlines a number of recommendations to help voluntary sector organizations improve their web sites so that they can better support their organizational objectives.

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**Paper Number:** PA021667

**Paper Title:** Current Applications of Electronic Advocacy Techniques in African American Advocacy Organizations: A content analysis of advocacy websites

**Author(s):**

Ms. Noelle H. Lee, Smithsonian Institution, Washington, DC, USA

### **Summary of Research**

The author examines the content of African American advocacy organization websites to determine whether an organization's mission determines the types of electronic advocacy techniques are used to disseminate critical messages. The discussion is prefaced by historical reference on the rise of the use of electronic advocacy techniques among social service organizations.

### **Description**

Current Applications of Electronic Advocacy Techniques in African American Advocacy Organizations: A content analysis of advocacy websites

Noelle Lee  
Master's Candidate, Public Administration  
Ohio University

The nonprofit sector is experiencing a tremendous increase in organizational use of electronic advocacy, a technique that makes use of the power of information technology to influence, challenge, direct or re-direct policies and programs developed by the dominant economic interests (Ramasubramanian, 2001). The transformative power of electronic advocacy speaks to the heart of why advocacy organizations exist. Moreover, in an increasingly technology dependent and interconnected society, new techniques for message dissemination must come to bear (Luke, 1997). Fitzgerald and McNutt (1997) define electronic advocacy as "the use of technology intensive media as a means to influence stakeholders to affect policy change", and current research suggests that the practice of electronic advocacy may hold great promise for organizations to communicate their messages by new and innovative methods. Heretofore, electronic advocacy efforts have been documented primarily among larger advocacy organizations. However, focused attention in this domain may forestall its successful adoption by smaller, grassroots and community-based organizations. Since this form of advocacy is relatively new, much of the research has come from a small, interdisciplinary group of researchers in social work and political science (McNutt & Boland, 1999). While the contribution of these authors is fundamentally important in establishing a paradigm from which to view the practice of electronic advocacy, their work omits careful study of the existence, importance, and potential impact of this technique in African American advocacy organizations. Thus, more research and commentary is needed to assess electronic advocacy's usefulness to African American advocacy organizations, many of which are historically under-funded and lack the resources of their mainstream counterparts. For these organizations, electronic advocacy may represent a cost-effective and efficient means for drawing support for their causes.

Arguably, the first step in assessing existence, impact, and importance of electronic advocacy in the African American advocacy community is to determine which organizations currently use some form of electronic advocacy and what messages are disseminated in this fashion. To that end, this paper presents the research results and implications of a content analysis of selected African American advocacy organization websites. Specifically, I argue that an organization's mission determines the types of electronic advocacy techniques employed. By analyzing twenty different African American advocacy organizations that had a presence on the World Wide Web, I determined the content of messages posted therein and was able to analyze the suggested or inferred action that each message contained.

The findings have important implications for future research and practice. First, a content analysis of current practice is useful in developing a survey to determine whether electronic advocacy techniques have enhanced mission-related goals and objectives. Second, because this is a relatively new

technology and its use in the nonprofit sector has been largely ignored, the research contributes to the limited body of knowledge that currently exists on the topic. Finally, the findings have important practical significance for helping African American advocacy organizations make effective use of electronic advocacy techniques to benefit to mission-related goals and objectives.

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**Paper Number:** PA021436

**Paper Title:** Nonprofits and Business: Recent Trends in Organizational Form

**Author(s):**

Dr. Joseph Cordes, The Urban Institute, Washington, DC, USA

Zina Poletz, Urban Institute, Washington, DC, USA

Dr. C. Eugene Steuerle, The Urban Institute, Washington, DC, USA

**Summary of Research**

The paper uses data from the National Center on Charitable Statistics, interviews, and case studies to analyze organizational models for nonprofit/for-profit partnerships that have become popular in recent years. We analyze the incentives that exist for nonprofits to form such partnerships, and explore the implications for tax policy of business ventures with taxable and nontaxable participants.

**Description**

The propensity of some nonprofits to seek out income garnered from commercial activities is a topic that continues to attract the attention of policy makers and nonprofit scholars. Operating models that blur the division between for-profit and nonprofit have been described in books edited by Weisbrod (1998) and Hammack & Young (1993), and are receiving attention in the popular press. It is widely recognized that the so-called “blurring of the sectors” has the potential to impact public policy, tax policy, business regulations, and the nature of what it means to be nonprofit.

One defining feature of the nonprofit for-profit nexus is that the boundaries between activities that have traditionally been thought to be domain of one sector or the other continue to shift. One recent development appears to be a greater propensity among nonprofits to develop formal relationship with for-profit entities in ways that often go beyond exploiting the opportunity to earn income from ancillary activities. For example, between 1993 and 1998, the number of nonprofit organizations with at least one taxable subsidiary increased by 35%; and in recent years, there have been several examples of nonprofits choosing to organize activities that arguably are a core part of their mission as for-profit enterprises.

This paper will explore three recent for-profit models that appear to have gained a measure of acceptance and popularity among some nonprofit organizations: nonprofit/for-profit business partnerships; the creation of for-profit subsidiaries by nonprofit organizations; and so-called hybrid organizations, including nonprofits organized around principles of social entrepreneurship.

We will draw on data from the National Center for Charitable Statistics, as well as a series of interviews and case studies to examine the following questions:

1. What is the status of these new forms of nonprofit business activity in the United States? Why have they appeared to gain in popularity in recent years?
2. What are the main incentives that appear to encourage nonprofits to seek out these newer organizational forms? What benefits do nonprofits derive when they give up tax exemption for certain activities?
3. How has the pursuit of new forms of nonprofit/for-profit enterprise affected the core mission of nonprofits that pursue these venues? How does the linking of for-profit activities to nonprofit organizations affect the conduct of the for-profit enterprises?
4. What are the tax policy implications of ventures that combine nonprofit and for-profit partners?

**Paper Number:** PA021447

**Paper Title:** Ethics Codes of Nonprofit, Tax-Exempt Membership Associations: Does Principal Constituency Make a Difference?

**Author(s):**

Dr. Gary M. Grobman, Ph.D., Penn State University, Harrisburg, PA, USA

### **Summary of Research**

The nonprofit sector has been under increased scrutiny recently as a result of alleged ethical lapses. Creating ethics codes is one strategy organizations employ to improve behavior and thwart increased government regulation. This paper examines ethics codes of nonprofit, tax-exempt, national and international trade and professional associations. It analyzes differences in ethics code content based upon whether these associations' constituencies are principally nonprofit, for-profit or government. It includes a content analysis of more than 115 association ethics codes, recording the presence or absence of 34 generic provisions, and testing whether the constituency of such associations influences code content.

### **Description**

The primary purpose of this paper is to consider and explore the connection between the nature of the principal constituency of nonprofit, tax-exempt, national and international trade and professional associations and the character of formal ethics codes promulgated by those associations, and answer the research question: How does the content of these codes differ, depending upon whether the principal constituency of these organizations is nonprofit, for-profit, or governmental?

The nonprofit sector has recently been under scrutiny for proven and alleged ethical lapses, contributing to a more cynical attitude by the public with respect to the motives of those who lead nonprofit organizations. The alleged deceptive fundraising practices of the American Red Cross in the early months following the September 11, 2001 terrorist attacks focused the public's attention on the fundraising practices of one of the most trusted national charities. An about-face on the policy occurred, contributing to the firing of the organization's CEO. Many other charities were accused of either fraudulently raising money under the guise of assisting victims of these attacks, or not allocating raised funds in a timely and prudent manner.

The previous decade witnessed even more embarrassing scandals that rocked the voluntary sector and increased public cynicism concerning the destination of their charitable largess: among them, scandals involving the United Way of America, televangelists Jim Bakker and Jimmy Swaggart, the national Episcopal Church, Covenant House, the NAACP, and the Foundation for New Era Philanthropy. These episodes have focused attention on increasing accountability of America's tax-exempt charities, despite the fact that Americans continue to have a basic trust for the nonprofit sector generally.

### **Relation to the State of Knowledge**

Creating an ethics code is one strategy among a menu of options nonprofit organizations can use to demonstrate a commitment to, and involvement in, promoting an ethical working environment and building and maintaining public trust. Jeremy Plant defines a code of ethics as a written or unwritten systematic effort to define acceptable conduct. Jamal and Bowie point out that one of the more common suggestions for dealing with ethical lapses in organizations is the development of a code of ethics. They theorize that one reason for this is that the public will demand that government regulate ethics abuses if the profession is unable or unwilling to police itself. Their three-part typology of association ethics code contents included constructs related to avoiding moral hazards, maintaining personal courtesy, and serving the public interest. O'Boyle and Dawson contributed to this discussion on the content of ethics codes by applying ethical constructs of equivalence, contributive justice, distributive justice, double effect, good and bad means, and self-determination.

A typology of ethical constructs has been devised by Tucker, Stathakopolous and Patti which was highly influenced by O'Boyle and Dawson. This typology includes constructs related to integrity, equality, economic efficiency, equivalence, contributive justice, distributive justice, and environmental (dealing with externalities).

## The Approach

The method used to answer the research question will be to obtain a representative sample of ethics codes of national and international associations representing constituencies that are principally for-profit, nonprofit, and governmental. A content analysis will be performed on these codes with respect to 35 generic ethics codes provisions suggested both by the literature and an analysis of a convenience sample of codes. An analysis will be performed to determine if there are statistically significant differences among these three types of organizations with respect to the content of their codes of ethics. Samples will be obtained from a population of associations listed in the Associations Unlimited database. SIC codes will be the primary way a determination will be made as to whether these associations have a constituency that is principally nonprofit, for-profit or governmental, supplemented by descriptive information that is provided by the Associations Unlimited database and the directory National Trade and Professional Associations published by Columbia Books. Each organization will be checked against the IRS Master List to determine whether it is tax-exempt.

## Contribution to the field

If in fact codes of ethics do have an influence on the behavior of large groups of people, it is important for the field to study them. This paper makes a contribution to the field by filling a gap in the literature with respect to the content of ethics codes of nonprofit, tax-exempt, trade and professional associations that are exempt under Section 501(c) of the Internal Revenue Code. Although these are all, by definition, nonprofit organizations, the literature is silent about whether one should expect these organizations' codes of ethics to have a character reflecting a nonprofit organization or that of the types of members that comprise the association. Since all of the organizations being studied have the same legal structure and general purpose (promoting an industry or profession), finding differences and similarities within this subgroup of nonprofit organizations can provide insight into the factors that may influence differences among organizations generally and nonprofit organizations in particular. Although engaging in empirical research to determine whether one set of provisions compared to another is more likely to influence behavior is beyond the scope of this paper, the research findings of this paper are important in providing a foundation for increasing the understanding of the nonprofit association form of organization. Gary Weaver has pointed out that developing ethical codes is one strategy an organization can utilize to avoid regulation. If and when ethical lapses in the nonprofit sector increase, it is likely that government will focus on regulation with respect to ethical issues (as is evident currently from the attention state and federal governments are focusing on Enron bankruptcy-related alleged unethical lapses). Increasing understanding about ethics codes will assist researchers in providing guidance to organizations that view creating an ethics code as one strategy to improve behavior and avoiding costly regulation.

**Paper Number:** PA021548

**Paper Title:** Corporate Social Responsibility in the Canadian context: The new role of corporations in community involvement and social issues

**Author(s):**

Dr. Mary Foster, Ryerson University, Toronto, CANADA

Dr. Agnes Meinhard, Ryerson University, Toronto, CANADA

### **Summary of Research**

Corporate social responsibility (CSR) has not been a focus of academic research in Canada in part because of the dominant role of government in providing the social safety net. This paper uses secondary data to investigate CSR in Canada, specifically the role of government and the extent of corporate social involvement as reported in Annual Reports and Web sites. Canada is an interesting case study because the government is more involved in social welfare and its citizens are very supportive of that role. In addition, its corporate sector is unique because it is primarily a branch plant of the US.

### **Description**

The rapidly growing literature investigating corporate social responsibility (CSR) attests to the world-wide interest in this trend, both from an academic perspective and as a legitimate component of commercial success (Burson-Marsteller, 2000; Waddock & Graves, 1997). However, CSR has not yet been a focus of academic research in Canada. The dominant role of government in providing Canada's social safety net in the past pre-empted the need for corporate participation in the provision of social services. Even though social expenditures still remain the largest single spending area of the federal budget (Prince, 1999), there has been a shift in policy at all levels of government. Both the range of services and the amount of funding to nonprofit service providers have been severely reduced (Hall & Banting, 2000). As a result, voluntary organizations have been diversifying their funding sources, including seeking corporate donations (Foster & Meinhard, 2002). Concomitantly, businesses in Canada are recognizing the value of relationships with the voluntary sector both from a marketing perspective and in response to their shareholders' concerns for community involvement and social issues (Pinney, 2001, Schmid & Meinhard, 2000). A recent Canadian opinion poll shows that 74% of shareholders say business should pursue social responsibilities, not just profits (Canadian Democracy and Corporate Accountability Commission, 2002). This paper will examine the current state of corporate participation in community and social services in Ontario.

Much of the current academic research builds on Carroll's (1979) four-part definition of CSR embedded in a conceptual framework of corporate social performance (CSP). Over the last twenty years, many have expanded on and enhanced this initial construct (Cochran & Wood, 1984; Aupperle, Carroll & Hatfield, 1985; Wood, 1991). Most recently, CSR has expanded into research on business ethics (Reed, 1999; Sudhir & Murthy, 2001; Verschoor, 1998), stakeholder theory (Ruf, Muralidhar, Brown, Janney & Paul, 2001; Argandoña, 1998), and CSP (Swanson, 1995; Swanson, 1999; Carroll, 1999). To date, most of the research has been conducted in the US (Carroll, 1999). Maignan and Ferrell (2000) compared CSR in France and the US to determine the cross-cultural applicability of Carroll's (1979) construct. Despite lower public sector involvement in the US than in France, where social welfare is a government responsibility, the CSR model applied equally to both countries.

The role of government in Canada also differs sharply from the US. The provision of universal social programs by government goes beyond welfare ideology. It plays a significant role in uniting a geographically dispersed population and in giving Canada a distinctive North American identity (Smardon, 1991). Even during a time of neo-conservative resurgence across the world, 60% of Canadians want to strengthen government commitment to the social safety net (Graves, 1999). At the same time, Canadians are concerned that the forces of globalization are accelerating a shift in priorities from domestic welfare considerations to global economic strategies (Johnson, et al., 1994). This is particularly worrisome in an economy that is 80% in the control of foreign corporations. Hence there is a newly expressed concern that in addition to government support of universal social programs, corporations should act as responsible social citizens by contributing their fair share to the health and

well-being of the communities in which they operate. Eighty percent of the population and 75% of corporate shareholders believe that government should establish standards for CSR. Indeed, Canada has set up a formal commission to investigate CSR and accountability because of the strongly held belief that market forces and self-regulation will not be sufficient to guarantee the standards of behaviour desired by Canadians (Canadian Democracy and Corporate Accountability Commission, 2002).

□ This paper will use secondary data to investigate CSR in Canada and will explore:

The role of government in CSR and the extent of corporate social involvement. As is the pattern with issues of broad-based concern, CSR is being researched and managed by a government-organized commission which is recommending how standards for CSR can be mandated in Canada. Interestingly, 84% of Canadians feel that Canada should set corporate accountability standards itself even if other countries don't (Canadian Democracy and Corporate Accountability Commission, 2002). This section of the paper will explore the historical role of government as a mediator between different societal sectors and its current responsibilities through the Canadian Democracy and Corporate Accountability Commission, in defining and setting benchmarks for CSR in Canada. Other publicly organized initiatives in CSR, such as the Imagine program of the Canadian Centre for Philanthropy will also be discussed. Extent of corporate social involvement. A content analysis of Annual Reports and Web sites for Canadian corporations will be conducted to identify mentions of CSR specifically related to voluntary organizations and community involvement. This part of the research will be similar to that conducted by Esrock and Leichty (1998) in which they analysed the contents of Web pages from a random sample of Fortune 500 companies. They found that 90% had Web pages and 82% of the sites addressed at least one CSR issue. For 60% that involved some aspect of community or civic involvement and for 39%, it was volunteerism. The data will be analysed by industry sector and size of the company because research indicates that these may be important differentiating factors. Because the largest corporations affect more people, they may arouse greater scrutiny and have more calls for social responsibility (Dalton & Kesner, 1985). As a result, larger companies have been found to provide more social responsibility information in their annual reports (Trotman & Bradley, 1981) and on their Web pages (Esrock & Leichty, 1998). Although Esrock and Leichty (1998) found no significant differences between six industry categories on overall social responsibility, other research has indicated that companies with more contact with the public give more to charity (Fry, Keim & Meiners, 1982).

This study makes a contribution to the field because it provides cross-cultural data on CSR. Canada is an interesting case study because not only is the government more involved in social welfare, but also its citizens are very supportive of that role. In addition, the corporate sector in Canada is unique. Because of its proximity to the US and its relatively small size in comparison to its southern neighbour (1/10th), Canada's business sector is primarily a branch plant of the US. This research will allow us to identify how country of origin values get translated into CSR initiatives, especially in instances when there are different ideologies. This is particularly relevant in an era of globalization and the diminishing importance of national boundaries on commerce, communication and culture.

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**Paper Number:** PA021178

**Paper Title:** Nonprofit to For Profit Conversions: Public Interest or Public Bane? A New York Case Study

**Author(s):**

Mr. Christopher Corbett, New York State Department of Public Service, Albany, NY, USA

**Summary of Research**

This research continues Corbett (2000), which describes the Empire Conversion underway in New York. In January 2002, legislation approved it and the disposition of \$1 billion in assets: 95% for health care salaries and expenses, and 5% for a foundation to promote health care for the poor. New York's approach is controversial. According to Greene & Sommerfeld (2002), New York Times calls it "the largest fiscal gimmick in New York State history". Consumers Union contemplates legal action, asserting the Plan illegal (p. 25).

**Description**

Young (1999) has called for a Presidential task force to identify neglected areas and new directions for nonprofit research. Research on organizational form and on nonprofit conversions of healthcare organizations appears to qualify on both counts. Further, the economic impact of conversions is profound. According to Williams and Brelvi (2000), such new foundations fund health programs in defined geographic areas and are often the largest source of nongovernmental health funding in a community or state (p. 258). They also conclude that foundations from health conversions have enormous potential to affect the health of communities, as well as the field of health philanthropy (p. 259).

□Recent research on nonprofit conversions is mixed. Regarding organizational form, case study research presents contradictory findings whether the nonprofit or for profit form better serves the public. Blumenthal and Weissman (2000) examined three case studies to assess the effects of selling teaching hospitals to investor owned chains. They conclude sales to for profits may strengthen financial viability without adverse impact on fulfilling social mission. Alternatively, Desai, VanDeusen Lukas and Young (2000) conducted a study of 347 hospitals that converted to private ownership, finding the hospitals provided less free care after conversion. Reductions in free care come at the expense of the most vulnerable of populations.

□A lack of consensus also exists among nonprofit researchers on criteria to judge nonprofit conversions. While some argue an "equity" basis, others favor social efficiency as the guiding principle. Coble (1999) asserts the North Carolina legislature has the best legislation governing nonprofit conversions, which requires 100% of fair market value of the company to fund the new foundation. Alternatively, Goddeeris and Weisbrod (1999) argue instead from a social efficiency perspective, asserting conversion is desirable if it is "Pareto-improving", making all parties better off. These approaches differ greatly, with profound public interest implications.

□This research is a continuation of Corbett (2000) which describes and explores nonprofit conversion issues using the evolving case of the Empire Blue Cross and Blue Shield Conversion underway in New York. Since nonprofit healthcare conversions are currently prohibited by law (Grey, 2000), New York developed legislation to govern future conversions in New York. The prior research described the evolution of events in New York, the major legislative proposals that had been developed to govern future nonprofit conversions and various public policy implications resulting from these proposals.

□In January 2002, the New York State Legislature enacted legislation governing the conversion of Empire and the disposition of some \$ 1 billion of assets. Under the approved plan, some 95% of the assets would be used for health care salaries and other health care expenses, while the remaining 5% would go to a foundation dedicated to improved health care for the poor. This action of the New York State Legislature has not been without criticism. As noted by Greene & Sommerfeld (2002), the New York Times has described the approved plan as "the largest fiscal gimmick in New York State history". Further, they report Consumers Union's view of the plan as a vast diversion of nonprofit assets and that

it constitutes a taking of private property. They also report Consumers Union is contemplating legal action, asserting that the plan is illegal.

□Part II of this research will describe and discuss New York's unprecedented approach to nonprofit conversion by addressing the process leading up to approval, the disposition of assets and the various provisions of the legislation that finally enables Empire Blue Cross and Blue Shield to convert from the nonprofit to for profit organizational form.

□The intended contribution of this research is to promote greater attention to, and debate over, the neglected area of nonprofit conversions. Secondly, this case study research is intended to encourage the evaluation and comparison of various states differing approaches, to help inform the development of sound nonprofit conversion public policymaking that advances the public good.

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**Paper Number:** PA021148

**Paper Title:** An Organizational Perspective to Founding Director Transition

**Author(s):**

Ms. Emily Redington, Academy for Leadership & Governance, Columbus, OH, USA

**Summary of Research**

The study develops a potential model through which nonprofit organizations can achieve successful founding leadership transition and offers outcome measures through which organizations can determine a transition's failure or success. The research uncovers the planning, preparation, and assessment nonprofit organizations might undertake to achieve a successful founding director transition. Data is collected from founders, their successors, board members, staff, and relevant transition documents and meetings. The results of the study support existing work in executive transition qualified by contextual factors unique to nonprofit organizations, such as organizational culture, organizational life cycle, and stakeholder involvement.

**Description**

The sharp increase in the number of nonprofit organizations founded in the late 1960s and 1970s resulted in part from the efforts of motivated individuals who founded the organizations and served as executive director from the first day of operation. Founders guided their organizations' fiscal, programmatic, and creative development, determining the direction their organizations were to take through an almost visceral leadership style. Now, the directors of many of these organizations are retiring. Board members and organizational staff across the country now face the same problem: how do they replace their executive directors without sacrificing the stability and integrity of the organization?

This study develops a potential model through which nonprofit organizations can achieve successful founding leadership transition and offers outcome measures through which organizations can determine the failure or success of their transitions. The study asks the question: What planning, preparation, and assessment should nonprofit organizations undertake to achieve a successful transition from founding director to his or her successor?

The theoretical framework for this study draws from business, government, and third-sector management literature, including nonprofit management, organizational culture, leadership, family business management, and succession theory. Nonprofit organizations must balance the needs of their many constituents: the board of directors, corporate and individual funders, policy-makers, relevant stakeholders, staff, audience, and clients. As Herman (1991, p. 6) points out, "The structure of nonprofit organizations substantively affects leadership roles and complicates the processes of decision making." The first section of the literature review also addresses organizational characteristics that can influence how its members approach growth and change. This study draws especially from organizational culture literature by Schein (1985, p. 6), who defines organizational culture as, "the deeper level of basic assumptions and beliefs that are shared by members of an organization" (Schein, 1985, p. 19). Enz (1986) traces the origins of such assumptions and beliefs to the values held by an organization's leader which are then diffused into the attitudes and behaviors of the staff, and Mills et. al. (1991) point to the collective adoption of these values as "learning the truce" (p. 62).

In addition to organizational culture, an organization's stage in the so-called organizational life cycle can determine the direction of major change within an organization. This study draws on the work of Gray (1985) and Adizes (1979) to develop a framework through which an organization's life cycle can be better understood. Additionally, organizational assessment approaches can evaluate a nonprofit's growth and change, thus determining the status of an organization during a time of transition. As Nutt and Backoff (1992, p. 3) point out, "The purpose of strategic development in [organizations undergoing leadership changes] is to make clear what the organization stands for, its values . . . to ensure that these values and competencies will be preserved." Organizational assessment tools as presented in Nutt & Backoff (1992) and the National Endowment for the Arts planning web site (Lessons Learned, 1999) will

provide additional insight.

A second portion of the literature review examines conceptions of leadership that are vital to selecting a new leader or assessing a current one. Choosing a leader who is both effective and accepted by current staff requires some common definitions of leadership. Kotter (1990) offers distinctions between managing and leading, and Bennis & Nanus (1985) offer strategies designed to assist leaders in understanding leadership roles and opportunities.

Gilmore's (1988) work on succession planning forms the basis of the succession theory used in this study. His analysis of executive succession comes from the standpoint of the private or for-profit sector, but the process he advises for succession planning has some general applicability in the nonprofit sector. Family business literature offers additional viewpoints of the succession process; particularly relevant to this study is theory focusing on the transition from family business to professional management as addressed by Bork (1986), Ward (1987), and Berenbeim (1984).

The study focuses on three literary arts organizations with similar budgets and program emphases, each in a different stage in the succession process. The study uses a multiple case study replication design as defined by Yin (1994).

The data collected comes in three forms:

- 1) □ documentation of succession planning, i.e. memos, agendas, minutes, timelines, assessments, and formalized reports from both the board and the planning committee, as well as archival records such as organizational budgets or charts;
- 2) □ open-ended interviews with staff, board, founders, successors, and relevant stakeholders, in which respondents are asked for "the facts of a matter as well as for the respondents' opinions about events" (Yin, 1994, p. 84); and
- 3) □ direct observation of succession meetings and presentations.

This research combines existing work on executive transition with the more specific problem of transition with a founding director in a nonprofit organization. It offers a template for those organizations facing founding director transition featuring both theoretical underpinnings and advice from the field.

**Paper Number:** PA021196

**Paper Title:** What does Hollywood think nonprofit CEOs do all day? The image of nonprofit managers in pop. culture

**Author(s):**

Dr. Mordecai Lee, University of Wisconsin-Milwaukee, Milwaukee, WI, USA

### **Summary of Research**

While academic research is gradually assembling knowledge about nonprofit management, another approach can also be used. By examining cinematic depictions of nonprofit CEO's at work, the perspective of popular culture can be examined to identify what nonprofit management is thought to consist of. This paper reviews American nonprofit CEO's in a set of 12 movies ranging from satire to drama, released from the 1930's to the present time. It indicates that in the eyes of popular culture and Hollywood screenwriters, a nonprofit CEO engages in a very broad variety of management activities and can utilize greatly differing leadership styles.

### **Description**

#### 1. Introduction and connection to the literature

Film studies are a prism through which a topic can be viewed from the perspective of popular culture rather than of a discriminating and self-selected constituency. Film, as a preeminent and universal form of popular culture, has the power to depict and then influence the image of a particular topic, institution, profession or endeavor. While film studies have been used to analyze many professions and economic pursuits, the nonprofit sector in general, and nonprofit management in particular, have not been subjected to such research.

This paper examines cinematic depictions of chief executive officers of nonprofit agencies from the 1930's to the present time. It selects a set of American films, representing different genres and themes, to identify archetypes of nonprofit managers that have been presented to the mass movie-going public. This, in turn, can assist researchers of the voluntary sector to identify the image held of this sector by popular culture. The sample identified for this study focuses on 11 movies. A brief summary of the body of the paper (in chronological order):

#### 2. Research findings

**The Nonprofit Executive as Irreverent Buffoon:** *Horse Feathers* (1932, comedy) Professor Quincy Adams Wagstaff (Groucho Marx) is appointed president of Huxley College, a private university. This movie depicts the college president as responsible to multiple constituencies, including the faculty, the trustees and the students. Various competing interests need to be accommodated, such as the academic mission of the college versus its athletic program or the quality of education versus financial limitations. Yet the movie's savage satire deflates the pomposity and self-righteousness apparently assumed to be associated with college presidents and their work.

**The Nonprofit Executive as the Anti-Manager:** *Boys Town* (1938, drama) Father Edward J. Flanagan (Spencer Tracy) establishes Boys Town in Nebraska to help boys in trouble. As head of a large social service agency he focuses mostly on providing a vision for the agency and personally working directly with the clients. He largely divorces himself from fundraising and other management responsibilities, leaving that to the Board.

**The Nonprofit Executive as Existential Fatalist:** *The Hospital* (1971, black comedy) John Sundstrom (Stephen Elliott) is Director of New York Medical University Center in Manhattan. He is committed to the organization, yet fatalistic. He tries to manage a seemingly chaotic, sometimes hostile and often inexplicable entity while nonetheless choosing to keep trying to do his best in this indifferent environment.

The Nonprofit Executive as Colleague: *The Candidate* (1972, drama) Attorney Bill McKay (Robert Redford) runs a small legal aid agency in rural California. His is not removed from the front-line mission of the agency. Leadership is more than shuffling paper and sitting in an office. While he is in charge and responsible for all the activities of the agency, he is able to handle his managerial duties while still being actively involved in the legal cases. He works well with his nominal subordinates and they, in turn, like working with him.

The Nonprofit Executive as Titular Leader: *House Calls* (1978, romantic comedy) Irwin Owen (Dick O'Neill) is the Administrator of Kensington General Hospital in southern California. He is a humorless functionary, with the real power of the organization resting with the hospital's physicians, especially the doctor who is selected as chief of staff.

The Nonprofit Executive as Tyrant: *The Blues Brothers* (1980, comedy) Sister Mary Stigmata (Kathleen Freeman) runs St. Helen of the Blessed Shroud Catholic orphanage in Calumet City, Illinois. The children view her as rigid, strict and terrifying. Yet, the perennial problem of adequate funding affects her like most nonprofit agencies. She is trying her best to keep the organization operating by seeking contributions, in this case, from former residents even though they have made life choices she abhors.

The Nonprofit Executive as Values-Oriented: *Heaven Help Us* (1985, drama) Brother Thadeus (Donald Sutherland) is headmaster of St. Basil's Catholic Boys School in Brooklyn in 1965. Thadeus' decisions indicate that he has a nuanced view of the values that should be promoted in the curriculum and culture of the school. While he is a strict disciplinarian, he also has a long-term focus on the school's overall educational mission that includes the promotion of other values as well.

The Nonprofit Exec as Idealist: *Scrooged* (1988, comedy) Claire Phillips (Karen Allen) is the Director of Operation Out Reach, serving the homeless in Manhattan. As CEO of a storefront social services agency she is able to live out her idealism. Phillips finds enormous satisfaction in trying to help agency clients and working with volunteers. Even after 20 years of such work, she retains her idealism and is not burned out.

The Nonprofit Executive as Autocrat: *Dead Poets Society* (1989, drama) Dr. Nolan (Norman Lloyd) is Headmaster of Wellton Academy, a college preparatory school for boys in New England in 1959. Nolan tries to exercise his authority and maintain the tranquility of the institution and the trust of the parents. Yet, he has turned a blind eye to the larger social trends in the external environment that, inevitably, will impose changes onto the institution irrespective of his opposition.

The Nonprofit Executive as Union Boss: *Hoffa* (1992, drama) Jimmy Hoffa (Jack Nicholson), as President of the Teamsters Union in the 1950's and 60's has a multi-dimension management approach. He brusquely decides which staff to fire and which to retain while simultaneously pursuing his dream of a project that would benefit the members.

The Nonprofit Executive as Strategic Planner: *The American President* (1995, romantic drama) Leo Solomon (John Mahoney) heads the Global Defense Council, an environmental advocacy group in Washington. His role is to protect the agency's mission and to intervene whenever events appear to be deflecting the agency from that mission. He is not the 'doer' of the work of the agency, rather the overseer and monitor of the activities of the staff.

### 3. Summary and conclusions

These movies all present nonprofit CEO's at work. These CEO's head agencies in a broad range of the nonprofit sector, including hospitals, colleges, social service, prep schools, labor unions, legal aid, faith-based and youth-serving. The range of management styles includes autocrats, existential fatalists, titular leaders, buffoons, preoccupied with direct service rather than management tasks, colleague, idealist, values oriented and strategic manager. These managers are of both genders, but predominantly male. All are white. They have various backgrounds, including medicine, teaching, union organizing, clergy, law, social activism and environmental activism.

What do nonprofit CEO's do all day? In these movies, the audience sees the mundane and inspirational elements of day-to-day work in voluntary sector management: raising funds, dealing with volunteers, speaking truth to power, firing staff, setting a vision for the organization, making choices, advising and counseling staff members, bullying and pleading to accomplish the mission, disregarding problems to help reach for seemingly unattainable goals and multi-tasking.

In this limited regard, Hollywood's depiction of nonprofit CEO is close to the reality of the work CEO's do. Notwithstanding the dramatic license and simplification involved in the commercial movie business, audiences - over time - have been exposed to somewhat realistic portrayals of different elements of nonprofit management. However, the dearth of similar published research compels the interpretation of this sample and exploratory effort with substantial caution. [end]



**Paper Number:** PA021270

**Paper Title:** The Price of Doing Good: Executive Compensation in Nonprofit Organizations

**Author(s):**

Dr. Elizabeth Keating, Harvard University, Cambridge, MA, USA

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

**Summary of Research**

This article examines the determinants of nonprofit compensation. We find substantial variation in CEO pay by industry subsector. CEOs receive supplemental pay for managing larger organizations. Our analysis indicates that executive compensation is not significantly related to CEO performance, as measured by fund-raising results or administrative efficiency. This weak pay-for-performance link may be due to concerns about violating the non-distribution constraint, which prohibits the distribution of excess earnings. While nonprofits may not be breaching the letter of the law, some organizations appear to be challenging its spirit: CEO compensation is significantly higher in organizations where free cash flows are present.

**Description**

Topic's Relation to the State of Knowledge in the Field

Against this complex backdrop of conditions and constraints in the nonprofit sector, we examine the determinants of nonprofit compensation. In particular, we focus on two threats to public trust: excess compensation and violation of the non-distribution constraint. This approach is different from the recent literature. Some research has explored the differences between nonprofit and for-profit compensation levels (Borjas, Frech III and Ginsburg 1983; Frank 1996; Goddeeris 1988; Johnson and Rudney 1987; Mocan and Viola 1997; Preston 1989). Several studies have examined a related topic -- the pay-performance link -- but have a more restricted scope. Roomkin and Weisbrod (1999) and Brickley and Van Horn (2000) focus on profit and non-profit hospitals, while others concentrated on variations in executive pay (Oster 1998; Baber, Daniel, and Roberts 1999; Hallock 2000). We explore the robustness of non-distribution constraint by constructing three hypotheses about the determinants of nonprofit compensation.

The Approach You will Take

To better understand whether existing compensation practices, we conduct a set of tests to examine the determinants of nonprofit CEO compensation. In carrying out the analysis, we adopt a pooled regression approach using a stratified panel of nonprofit organizations developed by the Internal Revenue Service (IRS) for the 1993-1996 period. We examine three hypotheses: First, we investigate whether compensation practices may violate the nondistribution constraint. To do so, we test whether CEO compensation increases with profitability. As nonprofits may be violating the spirit of the nondistribution constraint, we also examine whether compensation is related to free cash flows. Second, we examine the prevalence of pay-for-financial performance. We expect that, on average, nonprofit CEO salary and benefits contain only a modest or insignificant component related to financial performance. In industries with greater competition from for-profit businesses, we expect the incentive component to be larger and more significant. Third, we test whether a nonprofit's funding mix influences compensation. We expect firms that with substantial reliance on contributions are subject to greater oversight by donors that may constrain pay. Firms with a greater dependence on commercial revenues may have more complex business operations, so they may offer higher pay to attract and retain more experienced managers.

The Contribution To the Field Your Work will Make

To better understand whether excessive compensation or violations of the distribution constraint are frequent in the sector, we examined the factors associated with CEO compensation. We found that

nonprofit CEOs are paid a significant base salary, and many CEOs also receive additional pay associated with larger organizational size. Our results indicate that nonprofit executive compensation is not significantly related to CEO performance. While our analysis suggests that nonprofits may not literally be violating the non-distribution constraint, we did find evidence that CEO compensation is significantly higher in the presence of free cash flows. In three of the six industry sub-sectors, CEO compensation is determined by free cash flows rather than organizational size or CEO performance.

New intermediate sanction regulations have recently been put in place to penalize nonprofits that excessively compensate executives. These regulations determine the reasonableness of executive compensation based on benchmarking against comparable organizations. Our analysis suggests strong industry-specific similarities in pay are related to free cash flows and, to a lesser extent, organizational size, rather than to performance. Hence, the new regulations may not be particularly effective in identifying either absolute levels of compensation that are too high or organizations that are violating the spirit of the non-distribution constraint.

One final implication of our analysis bears on the enduring performance measurement quandary that confronts so many nonprofit organizations. We believe that nonprofit organizations may be relying on organizational size to make compensation decisions and drawing on free cash flows when available rather than address the challenge of defining, quantifying, and measuring the social benefits that nonprofits produce. Nonprofit organizations typically produce services that are complex and that produce not only direct outputs but also indirect, long-term societal benefits. These types of services often make it difficult to both develop good outcome measures and establish causality between program activity and client effects. In the absence of effective metrics of social performance and mission accomplishment, many organizations rely on other factors in setting compensation. Perhaps once better measures of mission fulfillment are developed and actively used, nonprofits will be able to structure CEO compensation in ways that provide appropriate incentives to managers, while respecting the full meaning of the non-distribution constraint.