

Paper Number: PN022139

Paper Title: Assessing the State of Civic Engagement and Democratic Citizenship in the United States:
A Report

Author(s):

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Description

1. Problem or Issue to Be Addressed

Civic engagement and the health of democracy in America has been the subject of much research during the last decade. While the very definition and scope of “civic engagement” is still contested, numerous analysts have posited a decline of citizen engagement and questioned democracy’s capacity to solve public problems at the community level. In the aftermath of the September 11th tragedy, initial reports signaled a resurgence in civic engagement and a renewed faith in democracy. Whether Americans are withdrawing from public life or participating in different ways is still a matter of much scholarly contention. Although no consensus has been reached regarding the level of civic engagement, the debate has broadened to include questions of quality, equality and sustainability of participation.

What are the key factors that enhance and sustain citizens’ civic engagement and build community capacities for reinvigorating democracy? Few public problems at the community level can be addressed successfully though the application of top down leadership and expertise alone. Whether the issue is local economic stability, environmental protection, educational reform, or the physical security of citizens, effective solutions must be bottom-up as well as top-down. They require engaged citizens who are prepared to contribute to democratic deliberations and to take ownership of the policies they help create.

Engaged, effective citizens are not born; they are created through social, economic, and political processes. This study will provide an assessment of the fundamental factors that increase, deepen, and sustain civic engagement at the community level. It will highlight the role that nonprofit organizations, government and other actors play in strengthening civic engagement and democratic citizenship in communities across the United States.

This study will address the implications and lessons for communities by highlighting effective strategies and innovations in fostering civic engagement. Specifically, the report will explore the key factors that:

- motivate people to engage in civic behaviors;
- enhance (or limit) opportunities for civic engagement;
- strengthen civic education and build effective civic skills;
- affect civic participation at the individual and collective levels;
- create and foster civic values, norms and conditions that strengthen (or reduce) the possibilities for civic engagement; and
- shape civic structures that affect the possibilities for civic engagement.

There is an urgent need for the development of tools that can be used for top-down and bottom-up evaluation of various ways to foster civic engagement. Such tools – focusing on what works, what has been shown to work, and what might work – should prove particularly helpful for community leaders, nonprofit organizations, and foundations seeking to enhance the quantity and quality of civic participation and sustain its impact for enhancing democracy in their communities. This report will provide a systematic assessment of civic engagement and democratic citizenship to learn what works and does not work to strengthen citizen involvement at the community level.

2. Relation to the State of Knowledge

This report and panel will build on the past decade's breadth of research in tracking civil society, social capital and civic engagement in the United States. Notably, this study draws on Putnam's (1995, 2000) assessments of civic engagement and social capital, Skocpol and Fiorina's (1999) analysis of the parameters of civic engagement, and Verba, Scholzman and Brady's (1995) examination of civic life. This project seeks to deepen the understanding of the factors that strengthen or weaken civic engagement at the community level and highlight the implications for enhancing democracy in the United States.

3. □ The Approach for Analysis (including data sources)

This study will draw on the existing scholarly literature and highlight examples of enhanced civic engagement in the field. In addition to the scholarly literature, the study will analyze the survey approaches and various indicators of civic health and participation in communities around the United States: the Social Capital Community Benchmark Survey, the Citizen Participation Study, the Democratic Audit Survey of Citizenship, Involvement and Democracy, the CIVICUS Index on Civil Society, the World Values Survey, HUD's State of the Cities Report, the National Commission on Civic Renewal's Index of Civic Health, the Boston Foundation's Civic Health Assessment and the Illinois Civic Engagement Benchmark Survey, just to name a few. By comparing and contrasting these sources, this study will deepen the understanding of the key factors that enhance and sustain citizens' civic engagement and build community capacities for reinvigorating democracy.

4. □ Contribution to the Field

This comprehensive assessment of civic engagement practices will synthesize current research and empirical experiences that enhance democracy at the community level. Providing specific recommendations to nonprofit practitioners, policy makers, grant makers and local stakeholders, this report seeks to bridge the gap between research and practice and to distinguish strategies and activities that produce demonstrable results in renewing and strengthening democratic participation at the community level. Moving these practices into the foreground should help to highlight best practice, raise new research issues, and encourage new levels of support and funding for such innovations, which in turn should raise the quantity, quality, equality and sustainability of citizen engagement at the community level, a core building block for a healthy, democratic society.

Key Works: Civic Engagement, Citizenship, Democracy, Community-building

Paper Number: PN022139.1

Paper Title: Report Overview

Author(s):

Dr. Virginia Hodgkinson, Georgetown University, Washington, DC, USA

Summary of Research

Please refer to full proposal

Description

Please refer to full proposal

Paper Number: PN022139.2

Paper Title: Contextual and Conditional Factors: Civic Differences and Disparities

Author(s):

Dr. Linda Williams, University of Maryland, College Park, MD, USA

Summary of Research

Please refer to full proposal

Description

Please refer to full proposal

Paper Number: PN022139.3

Paper Title: Civic Participation and Civic Structures

Author(s):

W. Clyde Wilcox, Georgetown University, Washington, DC, USA

Summary of Research

Please refer to full proposal

Description

Please refer to full proposal

Paper Number: PN022139.4

Paper Title: Civic Tools and Strategies

Author(s):

Judith Torney-Purta, University of Maryland, College Park, MD, USA

Summary of Research

Please refer to full proposal

Description

Please refer to full proposal

Paper Number: PN022162

Paper Title: Key organizations in underserved communities: The case of the Haitian Community in Boston and the African-American Community in Harlem

Author(s):

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

Description

Arnova Coference Proposal-Nesly Metayer and Charles Moses

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The responsible investigator in both projects is:

Prof. Paul F. Salipante
Case Western Reserve University

Proposed Panel Topic- Key organizations in underserved communities: The case of the Haitian Community in Boston and the African-American Community in Harlem.

The researchers are first-year students in the Executive Doctor of Management program at the Weatherhead School of Management at Case Western Reserve University. Each is conducting research using ethnographic methodology.

We propose a panel session on the topic of communities which are wrestling with issues of empowerment, collective action and organizational development. We focus on two communities: the Haitian community in Boston and its attempts to develop an indigenously-designed community organization, and the African-American community in Harlem, New York which is grappling with issues of economic empowerment and cooperation.

Our focus as practitioners is seek to deepen our understanding of issues and processes that may not be apparent in practice. A general sense of theoretical incompleteness justifies the adoption of research methodologies which allow us to rigorously investigate reify "gut feelings" and thus add to the body of knowledge. "Systematic empirical observations, creatively interpreted, form the foundation of path-breaking theory" (Carlson, 1997).

The panel is based on two separate ethnographic research projects, The Politics of Marooning, Trust, Distrust and Institutional Development: The case of the Haitian Multi-Service Center, and Empowerment Zones-Panacea or Problem? Both projects are slated to be completed by mid-May 2002.

The research projects are concerned with the way in which oppressed sub-groups within American society organize around issues of social and economic policy. Metayer characterizes the struggle, for

effective organizations and programs, as "marooning".

In the collective Haitian imagination, 'marooning' refers to an accepted form of resistance. It is an agreed upon understanding that regular people must 'beat the system'. Marooning sets the individual against the organization, be it government, private organizations or non-profit. This is built on the belief that the state never works for the benefits of the people. This viewpoint has implications for the:

- Type of organizations formed in the community
- The basket of programs these organizations offer, and
- The perceived effectiveness of the organizations

Among Boston's Haitian population, this view girds residents as they attempt to organize deal with a city, state and federal bureaucracy which promises much, but delivers little. In Harlem, this view has caused many to question the objectives of a USD 250 million federal economic empowerment initiative.

Contextual Framework

Harold Garfinkel proposes a powerful framework to understand human behavior and motivation in the context of the organization and society. Garfinkel support the understanding of human actions by contracting the "normalized" culture based on acquired values and expectations of the society, versus the "senseless", disorganized features of society characterized by what is being know as "an amnesia of social structure" such as bewilderment, anxiety, internal conflict and depersonalization". The idea of normality need to be discovered in the context of Haitian organizing because of the impact of repression and a continuous search for survival that may have a tremendous impact on one's behavior.

There is a long body of work in the USA in the effect of oppression on the individuals and the society. One should understand individual and collective behaviors informed by this literature. S. B. Serason provides an idealized sense of community that need to frame this inquiry. Sense of community metaphor is developed around caring, compassion and community. The deviance through this collective norm need to be understood through the lenses of oppression and its impact on community values not espoused but in-use.

Empowerment Zones: Panacea or Problem - the Case of Harlem, New York

Less than a decade ago, empowerment zones were hailed as the panacea for what was ailing America's inner cities. Using tax incentives, loan and grant programs, and promising to cut red tape, the United States government earmarked billions for the revitalization of distressed communities. State and local governments, anxious to transform areas bypassed by the economic boom of the 1980s, also joined in, adding hundreds of millions of dollars in loans and tax incentives to the program.

Despite the early enthusiasm for the zones, many experts say that they may not be the panacea for inner city ills that some believed they would be. Complaints about the zones have been heard in Washington, D.C, Chicago, Cleveland, Atlanta, Houston, and El Paso. The refrain is similar: business owners and residents charge that the zones are not delivering on their promise to help incumbent businesses grow.

Harlem, New York, for example, was one of the first areas to be designated a federal empowerment zone. In recent yeas, the community has garnered a share of the spotlight for its economic revitalization efforts (and as the site of former President Clinton's office), but there have been complaints. "This was supposed to be an opportunity for African-American-owned businesses to have a foot up, because we had been here all these years," said Dorothy Pittman Hughes, owner of Harlem Office Supply on E. 125th Street. "But that has not been the case...we are being pushed out" (Saltonstall. Pg. 24).

A Deficiency of Policy, or Practice?

The challenge with empowerment zones/enterprise communities surely involves closing the gap between community expectations and those of the bureaucrats, and executives charged with their administration.

Communities are obligated to provide economic sustenance for their residents. This includes the provision of jobs, opportunities to purchase quality goods and services at reasonable prices and the provision of access to the larger world (e.g. infrastructure).

But how? Some experts say that zones would function better if they were tailor-made to the needs of the communities they serve. For them the problem is one of organizational design and collective action: to exist, the zones need boards of directors and management drawn from diverse, often adversarial, groups within communities, groups which then find it hard to agree on tactical issues. Management practices tend to favor those who already have the economic means, to the exclusion of those seeking the opportunities that zone programs purport to offer.

Conceptual Framework

My initial concern in undertaking this research is to understand the disjuncture between stakeholder expectations and a community-based organization in the framing and undertaking of tasks which most would readily agree are highly desirable. But there is considerable disagreement as to who should get the investment and other benefits offered by the empowerment zone. Should small and medium sized enterprises - of which there are many in Harlem - get the lion's share of the benefits, or should large firms which bring jobs and pay large amounts of business tax, get the nod?

Proposed Methodology and Focus

Harlem, Inwood and Washington Heights are going through a period of intense development. The UMEZ is at the center of the activity. Its actions, in granting or denying loans, in embracing and rejecting business plans and initiatives, have placed it in an intense spotlight. And its very structure, including the recent decision to appoint noted lawyer Johnnie Cochran as chairman of its board, confirms its status as the fulcrum of all the economic hopes, and fears, of the communities it serves.

I think that this project lends itself to the techniques of participant observation, phenomenological interviews, and selected small group interviews. My aim is to collect rich accounts and other information from those involved in the economic life of Harlem, and then attempt to identify themes. Empowerment! Development! Money! Power! Interests! All are primal forces in any inner city. Who gets what, when and why?

While it is premature to project the range of themes likely to emerge, I am hopeful that my analysis of the raw data will yield a strong contextual lens through which I could begin to develop some useful theoretical frameworks.

Paper Number: PN022162.1

Paper Title: Empowerment Zones-Panacea or Problem?

Author(s):

Mr. Charles T. Moses, Case Western Reserve University, East Elmhurst, NY, USA

Mr. Nesly Metayer, Case Western Reserve University, Milton, MA, USA

Mr. Craig E Soaries, Case Western Reserve University, Atlanta, GA, USA

Summary of Research

We propose a panel session on the topic of underserved and at-risk communities which are wrestling with issues of empowerment, collective action and organizational development. We focus on two communities: the Haitian community in Boston and its attempts to develop an indigenously-designed community organization, the African-American community in Harlem, New York which is grappling with issues of economic empowerment and cooperation, and on one at-risk group, African American males in Atlanta, Georgia.

Description

Arnova Conference Proposal-Craig Soares, Nesly Metayer and Charles Moses

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The responsible investigator in all of the projects is:

Prof. Paul F. Salipante
Case Western Reserve University

Proposed Panel Topic- Key organizations in underserved and at-risk communities: The case of the Haitian Community in Boston, the African-American Community in Harlem and at-risk African American Males in Atlanta.

The researchers are first and second year students in the Executive Doctor of Management program at the Weatherhead School of Management at Case Western Reserve University. Each is conducting research using ethnographic methodology.

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The panel is based on three separate ethnographic research projects, The Politics of Marooning, Trust, Distrust and Institutional Development: The case of the Haitian Multi-Service Center, a second, Empowerment Zones-Panacea or Problem?; and a third, Victory House - A Grassroots Research Institute?

The first two projects are slated to be completed by mid-May 2002. The third, which was originally presented at Arnova -2001, is ongoing.

The research projects are concerned with the way in which oppressed sub-groups within American society organize around issues of social and economic policy. Metayer characterizes the struggle, for effective organizations and programs, as "marooning".

In the collective Haitian imagination, 'marooning' refers to an accepted form of resistance. It is an agreed upon understanding that regular people must 'beat the system'. Marooning sets the individual against the organization, be it government, private organizations or non-profit. This is built on the belief that the state never works for the benefits of the people. This viewpoint has implications for the:

- Type of organizations formed in the community
- The basket of programs these organizations offer, and
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Among Boston's Haitian population, this view girds residents as they attempt to organize deal with a city, state and federal bureaucracy which promises much, but delivers little. In Harlem, this view has caused many to question the objectives of a USD 250 million federal economic empowerment initiative. And on the basketball courts of Atlanta, sophisticated adaptive skills exhibited by young African-American males may be similar to the critically important skills used by African-American slaves of the 19th Century.

Contextual Framework

Harold Garfinkel proposes a powerful framework to understand human behavior and motivation in the context of the organization and society. Garfinkel support the understanding of human actions by contracting the "normalized" culture based on acquired values and expectations of the society, versus the "senseless", disorganized features of society characterized by what is being know as "an amnesia of social structure" such as bewilderment, anxiety, internal conflict and depersonalization". The idea of normality need to be discovered in the context of Haitian organizing because of the impact of repression and a continuous search for survival that may have a tremendous impact on one's behavior.

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The challenge with empowerment zones/enterprise communities surely involves closing the gap between community expectations and those of the bureaucrats, and executives charged with their administration. Communities are obligated to provide economic sustenance for their residents. This includes the provision of jobs, opportunities to purchase quality goods and services at reasonable prices and the provision of access to the larger world (e.g. infrastructure).

But how? Some experts say that zones would function better if they were tailor-made to the needs of the communities they serve. For them the problem is one of organizational design and collective action: to exist, the zones need boards of directors and management drawn from diverse, often adversarial, groups within communities, groups which then find it hard to agree on tactical issues. Management practices tend to favor those who already have the economic means, to the exclusion of those seeking the opportunities that zone programs purport to offer.

Conceptual Framework

My initial concern in undertaking this research is to understand the disjuncture between stakeholder expectations and a community-based organization in the framing and undertaking of tasks which most would readily agree are highly desirable. But there is considerable disagreement as to who should get the investment and other benefits offered by the empowerment zone. Should small and medium sized enterprises - of which there are many in Harlem - get the lion's share of the benefits, or should large firms which bring jobs and pay large amounts of business tax, get the nod?

Proposed Methodology and Focus

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I think that this project lends itself to the techniques of participant observation, phenomenological

interviews, and selected small group interviews. My aim is to collect rich accounts and other information from those involved in the economic life of Harlem, and then attempt to identify themes. Empowerment! Development! Money! Power! Interests! All are primal forces in any inner city. Who gets what, when and why?

While it is premature to project the range of themes likely to emerge, I am hopeful that my analysis of the raw data will yield a strong contextual lens through which I could begin to develop some useful theoretical frameworks.

Victory House - A Grassroots Research Institute? A Textual Analysis of African-American Male Slave Narratives and Contemporary At-Risk African-American Males

In pursuit of relevant literature, it remains challenging to find the type of studies that approach the broader population of Black men, in America, without the presumption that these men are void of social skills or the abilities to establish or maintain successful social systems or relationships of meaning. It remains as challenging to identify organizations located in the inner cities of America which provide the opportunity to research and document phenomenon critical to the understanding of marginalized, at-risk African-American men.

Soaries ethnographic research (The Foul, Arnova - 2001), was conducted on an outdoor basketball court in inner-city Atlanta. He discovered a set of social skills at work in the lives of at-risk, inner city African-American men. While he is familiar with the type of man he was observing, he was surprised to learn of the sophisticated system of rules, social order and governance on the court, systems which were iterative and sustained orally.

Soaries' literature review yielded an intriguing collection of slave narratives of former African-American slaves, which assisted in the formulation of a theory of Black male identity creation. The narratives were completed in the 1930's and involved African-Americans born in slavery and interviewed by White and Black, out of work journalists during the depression.

Using a sample drawn from a population similar to that used in his first year project, Soaries proposes to conduct interviews, then compare them with a textual analysis drawn from ten selected interviews from the slave narratives. The current group are all participants in the work therapy module at Victory House Men's Program in Atlanta, Ga.

Victory House, as a church based, residential drug/alcohol counseling program is a natural research setting for such a study with readily available and willing participants. They reflect upon the ethnographic, outdoor basketball study and anxiously await the opportunity to be involved again.

The primary research question to be asked will be; how does the language of former Black male slaves reflect their meaning of work as compared to present day Victory House work therapy participants? This question emerges out of an interest in a comparison of the positions of both the ex-slaves with the "at-risk" urban men, that I deal with daily as a practitioner, in an economy, and their experience of and response to the social and economic position ("their place") and social and economic conditions they find themselves facing. Interestingly enough during the same time the narratives were produced in the 1930's, Carter Woodson in his provocative study, *The Mis-Education of The Negro*, published in the 1933, concluded that part of the "Negro's education" or social cognition was learning his place in American society and staying in his place.

I want to examine how have things changed and in what ways? Are there commonalities in these two groups experiences, identities, opportunities, values or expressions of any of these? What are the differences and how would we begin to document and explain patterns, changes gaps and parallels?

Paper Number: PN022162.2

Paper Title: The Politics of Marooning, Trust, Distrust and Institutional Development: The case of the Haitian Multi-Service Center

Author(s):

Mr. Nesly Metayer, Case Western Reserve University, Milton, MA, USA

Summary of Research

This paper focuses on the challenges faced by members of Boston's Haitian community in seeking to develop an effective community-based multi-purpose center. Implicit in this undertaking are certain historical and culturally seated precepts, which may dispose at least some members of the community to distrust governmental authority and largesse. Using ethnographic methods, the research aims to illustrate the problem, than begin to pose strategies aimed at ameliorating the situation.

Description

This paper focuses on the challenges faced by members of Boston's Haitian community in seeking to develop an effective community-based multi-purpose center. Implicit in this undertaking are certain historical and culturally seated precepts, which may dispose at least some members of the community to distrust governmental authority and largesse. Using ethnographic methods, the research aims to illustrate the problem, than begin to pose strategies aimed at ameliorating the situation.

Paper Number: PN022162.3

Paper Title: Victory House - A Grassroots Research Institute

Author(s):

Craig E. Soaries, Victory House, Atlanta, GA, USA

Summary of Research

In pursuit of relevant literature, it remains challenging to find the type of studies that approach the broader population of Black men, in America, without the presumption that these men are void of social skills or the abilities to establish or maintain successful social systems or relationships of meaning. It remains as challenging to identify organizations located in the inner cities of America which provide the opportunity to research and document phenomenon critical to the understanding of marginalized, at-risk African-American men.

Description

In pursuit of relevant literature, it remains challenging to find the type of studies that approach the broader population of Black men, in America, without the presumption that these men are void of social skills or the abilities to establish or maintain successful social systems or relationships of meaning. It remains as challenging to identify organizations located in the inner cities of America which provide the opportunity to research and document phenomenon critical to the understanding of marginalized, at-risk African-American men.

From my ethnographic research last year (The Foul, Arnova - 2001), while observing the outdoor basketball court, I discovered a set of social skills at work in the lives of at-risk, inner city African-American men. Even though I work daily with most of the men I observed I was unaware of the sophisticated rules, social order and system of governance, on the court, which has been successfully recreated and sustained orally. In the course of conducting a literature review, for my ethnography, I came across an intriguing collection of slave narratives of former African-American slaves, which assisted in the formulation of a theory of Black male identity creation. The narratives were completed in the 1930's and involved African-Americans born in slavery and interviewed by White and Black, out of work reporters, during the depression. It was a project funded by the government as a means of providing work during an economically stressful period. Even though it was not expeditious to use these narratives in my ethnographic work, it is now my intention to use the narratives as a basis for my research this year. Most of the interviews were conducted in the south and many were recorded and then transcribed. Some of the audio records are still available.

As I approached my second year of qualitative work, using a small sampling of the same population, inner city African-American men, I decided to conduct a textual analysis of ten selected interviews from the slave narratives and compare them to ten similar interviews conducted with men involved in the work therapy of Victory House Men's Program who particularly had experience with downtown day "labor" pools, which some have referred to as modern slavery. Victory House, as a church based, residential drug/alcohol counseling program is a natural research setting for such a study with readily available and willing participants. They reflect upon the ethnographic, outdoor basketball study and anxiously await the opportunity to be involved again.

The primary research question to be asked will be; how does the language of former Black male slaves reflect their meaning of work as compared to present day Victory House work therapy participants? This question emerges out of an interest in a comparison of the positions of both the ex-slaves with the "at-risk" urban men, that I deal with daily as a practitioner, in an economy, and their experience of and response to the social and economic position("their place") and social and economic conditions they find themselves facing. Interestingly enough during the same time the narratives were produced in the 1930's, Carter Woodson in his provocative study, The Mis-Education of The Negro, published in the 1933, concluded that part of the "Negro's education" or social cognition was learning his place in

American society and staying in his place.

I want to examine how have things changed and in what ways? Are there commonalities in these two groups experiences, identities, opportunities, values or expressions of any of these? What are the differences and how would we begin to document and explain patterns, changes gaps and parallels?

The analysis of patterns in the slave narratives and in the contemporary narratives of the men in the Victory House work therapy program will assist me in explaining if Black men's language, their expression of their experiences, and perhaps the patterns I discover in the language used to express experience, can tell us anything about socio-economic conditions and beliefs about and responses to those conditions and if much has really changed in the past 150 years for "at-risk" Black men.

In other words how the men, past and present, describe and talk about work will provide my basis of analyses and conclusions. If much has or has not changed can have a major bearing upon the future of practitioners that are concerned about empowering and enabling "at-risk" men of color to move into the social and economic mainstream of America. Understanding their present condition and challenges is absolutely essential in the re-educating of such men and providing new intervention methodology and hopefully provoke a new wave of intervention research for a neglected population.

I consider the two sets of narratives and the comparison between them important because they give us insight into the self-reflection of these individuals on their identities (including being black and male) and the role these identities play in shaping their work life, work experiences, and economics. It also provides an opportunity on one hand, as well as a documentation of a perspective that is not frequently presented, marginalized black male voices analyzing their world and the world around them, and their place in both.

This project, theoretically grounded in literature discovered during my ethnographic experience, contains an expanded review of existent literature including slave narratives recorded in the 1930's. This year's work continues the developing tradition of practitioner-scholar research maintaining scholarly and academic rigor, while at the same time, connecting with the daily experiences and culture. The participants in this study are fully aware and most desirous to be involved in this continued study. It further represents an uncommon study of a commonly overlooked group, at risk inner city African-American men. Thus the Victory House has taken an an additional role of think tank or research institute. The men selected seem to appreciate that their input might have national impact and welcome the opportunity for their voices to be heard.

Paper Number: PN022138

Paper Title: The Future of Charitable Giving

Author(s):

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

Description

Proposed Panel: The Future of Charitable Giving

Nonprofit organizations that depend on private donations are perennially concerned about trends that might affect the level of donations that come their way. In the near future, both demography and tax policy are poised to bring changes in charitable giving. In this panel, we explore the regional implications of the impending wealth transfer through large anticipated bequests, the anticipated effects of changes in the tax code, an analysis of how multiple taxes and subsidies combine to affect the fortunes of a major nonprofit in the arts (public radio), and economists' ability to forecast charitable donations.

Each of the papers in this panel builds upon a long tradition of economic research. Economists have been exploring the impact of taxes on charitable giving since the late 1970s, when the Filer Commission's survey of philanthropy provided a useful data set. Since then, panel data based on tax returns have allowed economists to chart changes in household behavior in response to such major developments as the Tax Reform Act of 1986. The paper by McClelland and Greene reviews the current state of this literature and explores the likely implications of changes in estate tax law for charitable bequests.

The scholarly world first became aware of an impending surge of bequests with the publication in 1993 of Avery and Rendell's prediction of a \$10.4 trillion transfer over the next five decades. As unprecedented as this level of bequests was, it soon became clear that their estimate was far too low; more recent estimates, such as those by Schervish and Havens, at least quadruple the figure. The paper by Irvin examines the regional consequences of bequests, emphasizing that intergenerational transfer implies substantial interregional transfer as well; in particular, older generations tend to live in more rural areas than do their heirs. Rural philanthropy is an under-explored topic, and this paper makes an important contribution in that area.

Brooks presents another extension of economic analysis in the paper on public radio. Brooks demonstrates the importance of looking at the sum of government policies that affect a nonprofit that depends on both private donations and public subsidy. Examining public radio stations over a seven-year period, Brooks models the combined impacts of lump-sum grants, matching grants, and indirect subsidies to private donations via the income tax deduction. This represents an important extension of a well-established literature on government funding and private donations to public radio, beginning with Kingma's path-breaking 1989 article on the extent to which government funding crowds out private contributions.

The final paper in the panel asks the question of how well economists can apply their understanding of charitable giving in forecasting charitable giving. Giving USA is one of the most authoritative sources for estimates of charitable giving in the United States. The paper by Brown, Deb, and Wilhelm compares the accuracy of alternative forecasting models, testing them against actual data from tax deductions in the 1990s and forecasting into the 2000s.

Abstracts of the papers appear below. Because the submission software asks that each paper be submitted in the form for single-paper (as opposed to panel) submissions, this material is repeated in that format as well. I apologize for the redundancy.

TAXES AND CHARITABLE GIVING

Pamela Greene
Robert McClelland
May 2001

ABSTRACT

This article reviews the basic mechanisms of federal tax incentives, the current level, sources and recipients of charitable donations, and the estimated magnitude of the response to tax incentives. In addition, we discuss the possible effects of recent tax proposals on charitable giving. These proposals include changing the marginal rate structure, allowing taxpayers using the standard deduction to reduce taxable income by the amount of their contributions, and repealing the estate tax.

REGIONAL WEALTH TRANSFER ANALYSIS

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Abstract

The U.S. WWII generation is on the eve of transferring its unprecedented wealth to succeeding generations. The "bequest wave" expected to result from the transfer of wealth implies that nonprofit organizations should have planned giving programs in place and take steps – even if they are a small, young organization – to encourage people to include community needs in their estate plans. Several regional factors suggest a particularly strong immediate need to build nonprofit capacity in planned giving programs.

Many isolated rural communities are more heavily populated by older residents. This hollowing out of younger populations means that the bequest wave will peak sooner, then taper off, compared to urban areas, where wealth transfer is expected to steadily climb over the next 50 years. Other regions are experiencing in-migration of retirees – also suggesting an impending wealth transfer much sooner than in metropolitan areas. In both cases, when wealth transfer occurs, it will primarily go to younger heirs, who more often live in urban and suburban areas. Using population, land ownership, income and wealth data, we map out wealth transfer patterns expected for the next 20 years in the State of Oregon, showing strong regional differences in timing of wealth transfer and expected charitable bequests.

PRIVATE PHILANTHROPY AND THE ECONOMICS OF PUBLIC RADIO

Arthur C. Brooks
Maxwell School of Public Administration
Syracuse University

Nonprofit "public" radio stations in the United States receive both direct and indirect government funding.

Direct subsidies come in the form of lump-sum and matching grants, while indirect subsidies proceed from tax revenues foregone on deductible private donations. Each of these sources of government money impacts charitable giving to public radio. This paper estimates both of these effects using models of charitable giving and Corporation for Public Broadcasting data on a national sample of public radio stations in the United States from 1990-96.

FORECASTING ITEMIZED DEDUCTIONS

Melissa Brown

Center on Philanthropy at Indiana University

Partha Deb

Department of Economics

Indiana University Purdue University Indianapolis (IUPUI)

Patrick Rooney and Mark Wilhelm*

Department of Economics

Indiana University Purdue University Indianapolis (IUPUI) and

Center on Philanthropy at Indiana University

Giving USA's annual estimate of charitable giving in the United States is widely publicized and cited. Approximately 60 percent of this estimate is based upon the amount claimed as itemized deductions on federal income taxes. This amount is not available when the estimate is prepared and therefore must be forecast. From 1984 through 1997 levels of giving were forecast using a static model with personal income and a stock market index as the primary explanatory variables. Since 1998, the forecast has been based on changes in giving, arguably a superior methodology.

This paper presents a systematic comparison of these forecasting methods. In addition, it also investigates other dynamic forecasting models and other potentially useful explanatory variables. For each of these methods, we calculate the forecast errors that would have occurred during the 1990s had the method been in use. Using the method that produces the smallest forecast errors we provide a forecast interval for 2001 itemized deductions.

Paper Number: PN022138.1

Paper Title: Taxes and Charitable Giving

Author(s):

Pamela Greene, CBO, Washington, DC, USA

Mr. Robert McClelland, Congressional Budget Office, Washington, DC, USA

Summary of Research

This article reviews the basic mechanisms of federal tax incentives, the current level, sources and recipients of charitable donations, and the estimated magnitude of the response to tax incentives. In addition, we discuss the possible effects of recent tax proposals on charitable giving. These proposals include changing the marginal rate structure, allowing taxpayers using the standard deduction to reduce taxable income by the amount of their contributions, and repealing the estate tax.

Description

The importance and relevance of this paper to the panel has been described in the section on the panel itself.

Paper Number: PN022138.2

Paper Title: Regional Wealth Transfer Analysis

Author(s):

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

Summary of Research

The U.S. WWII generation is on the eve of transferring its unprecedented wealth to succeeding generations. Using population, land ownership, income and wealth data, we map out wealth transfer patterns expected for the next 20 years in the State of Oregon, showing strong regional differences in timing of wealth transfer and expected charitable bequests.

Description

The U.S. WWII generation is on the eve of transferring its unprecedented wealth to succeeding generations. The “bequest wave” expected to result from the transfer of wealth implies that nonprofit organizations should have planned giving programs in place and take steps – even if they are a small, young organization – to encourage people to include community needs in their estate plans. Several regional factors suggest a particularly strong immediate need to build nonprofit capacity in planned giving programs.

Many isolated rural communities are more heavily populated by older residents. This hollowing out of younger populations means that the bequest wave will peak sooner, then taper off, compared to urban areas, where wealth transfer is expected to steadily climb over the next 50 years. Other regions are experiencing in-migration of retirees – also suggesting an impending wealth transfer much sooner than in metropolitan areas. In both cases, when wealth transfer occurs, it will primarily go to younger heirs, who more often live in urban and suburban areas. Using population, land ownership, income and wealth data, we map out wealth transfer patterns expected for the next 20 years in the State of Oregon, showing strong regional differences in timing of wealth transfer and expected charitable bequests.

Paper Number: PN022138.3

Paper Title: Private Philanthropy and the Economics of Public Radio

Author(s):

Arthur Brooks, Syracuse University, Syracuse, NY, USA

Summary of Research

Nonprofit "public" radio stations in the United States receive both direct and indirect government funding. Direct subsidies come in the form of lump-sum and matching grants, while indirect subsidies proceed from tax revenues foregone on deductible private donations. Each of these sources of government money impacts charitable giving to public radio. This paper estimates both of these effects using models of charitable giving and Corporation for Public Broadcasting data on a national sample of public radio stations in the United States from 1990-96.

Description

Please see the description of this panel for the full relevance of this paper to the discussion.

Paper Number: PN022138.4

Paper Title: Forecasting Itemized Deductions

Author(s):

Professor Partha Deb, Indiana University Purdue University at Indianapolis, Indianapolis, IN, USA

Ms. Melissa Brown, IUPUI, Indianapolis, IN, USA

Dr. Mark Wilhelm, IUPUI, Indianapolis, IN, USA

Summary of Research

Giving USA's annual estimate of charitable giving in the United States is widely publicized and cited. From 1984 through 1997 levels of giving were forecast using a static model with personal income and a stock market index as the primary explanatory variables. Since 1998, the forecast has been based on changes in giving, arguably a superior methodology. This paper presents a systematic comparison of these forecasting methods.

Description

Giving USA's annual estimate of charitable giving in the United States is widely publicized and cited. Approximately 60 percent of this estimate is based upon the amount claimed as itemized deductions on federal income taxes. This amount is not available when the estimate is prepared and therefore must be forecast. From 1984 through 1997 levels of giving were forecast using a static model with personal income and a stock market index as the primary explanatory variables. Since 1998, the forecast has been based on changes in giving, arguably a superior methodology.

This paper presents a systematic comparison of these forecasting methods. In addition, it also investigates other dynamic forecasting models and other potentially useful explanatory variables. For each of these methods, we calculate the forecast errors that would have occurred during the 1990s had the method been in use. Using the method that produces the smallest forecast errors we provide a forecast interval for 2001 itemized deductions.

Paper Number: PN022148

Paper Title: Advancing Nonprofit Advocacy Within an Accountability Framework

Author(s):

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

Description

Nonprofit Advocacy in a Post 9/11 World: Institutions, Competitors and Context

Advocacy is a critical part of the mission of the nonprofit sector and equally significant topic of study for nonprofit scholars (Reid, 2000; Salamon, 1999). The relationship between nonprofits and government is often a difficult one, especially in times of massive social and economic change. This panel will address some significant issues for nonprofit advocacy in light of the economic downturn and the post 9/11 changes in American society. We can expect to see a government that deals with its citizens in a different manner. More emphasis on cost savings and budget cutting have already plagued the sector, coupled with more effort to lower costs through e-government. The post 9/11 climate has created a chilling effect on advocacy groups of many stripes. Legislation (such as welfare reform) that was passed in the last decade is likely to emerge as even more draconian in the future. These facts mean that the institutional context, which is explored by these three papers, will become more critical as the sector seeks to advocate in this new political reality.

Electronic Government and Electronic Advocacy: An Empirical Exploration of Relationships and Patterns looks at the relationship between electronic advocacy and the growth of electronic government. Electronic government is a part of the Hollow State (Milward & Snyder, 1996) and part of the developing institutional environment of advocacy. The critical issue addressed by this paper is if changes in the electronic institutional environment of government require a change in the techniques that advocacy groups use.

Pragmatic Advocacy in Pragmatic America: Evidence from Environmental Debates examines the nature of nonprofit advocacy within a civil society context and within American cultural traditions. The paper uses data from a number of previous studies to uncover the techniques and tease out the assumptions of pragmatic advocacy.

Welfare Reform and Nonprofit Advocacy: Evidence from A Study of Massachusetts Nonprofit Organizations. Looks at the activities of a group of organizations to influence welfare reform as reauthorization of the law is contemplated. It examines a group of organizations that exist in a single policy field within a single state political system

The first paper looks at advocacy and institutions from a comparative state perspective, while the second paper looks at the overall cultural context. These two perspectives are complemented by the third study that looks at one state political arena.

Milward, H.B. & Snyder, L.O. (1996). Electronic government: Linking citizens to public organizations through technology. *Journal of public administration research and theory*. 6(2), 261-275.

Reid, E. J. (ed). (2000). *Nonprofit advocacy in the policy process: Structuring the inquiry into advocacy*. Washington, DC:Urban Institute

Salamon, L. M. (1999). The Nonprofit sector at a crossroads: The case of America. *Voluntas*. 10 (1), 5-23.

Electronic Government and Electronic Advocacy: An Empirical Exploration of Relationships and Patterns

The practice of nonprofit advocacy has always depended on the corresponding governmental institutions that we seek to influence. The rise of electronic advocacy (McNutt & Boland, 1999; Hicks & McNutt, 2002) within the nonprofit sector has had a profound impact on advocacy practice. The analogous governmental institutions are undergoing a transformation of their own--the movement to electronic or e-government (Milward & Snyder, 1996; Fountain, 2001).

The interaction between these two forces has never been rigorously considered in the nonprofit literature. This study will begin to fill that gap by taking an empirically-based look at the relationship. Specifically, we will address the following research questions: Are higher levels of e-government activities associated with higher levels of e-advocacy activity? Are higher levels of e-government activities associated with higher levels of perceived effectiveness of e-advocacy? Are higher levels of e-government activities associated with higher levels of use of more sophisticated e-advocacy techniques.

The theoretical framework is provided by diffusion of innovation theory (Rogers, 1995) supplemented by various interest group approaches. The data for e-government sophistication is provided by the Digital States study and e-advocacy data is provided by a number of recent studies of e-advocacy by state level nonprofit organizations. A regression model will be used to analyze the data.

This study will contribute to nonprofit theory by providing a beginning examination of the important new area of non-profit-governmental relations. As e-government becomes part of the intervention of choice for many governments in a post 9/11, post anthrax world, the nonprofit section will need to consider its response.

Fountain, J (2001). Building the digital state. Washington, DC: Brookings.

Hick, S. & McNutt, J. (eds.) (2002). Advocacy and Activism on the Internet: Perspectives from Community Organization and Social Policy. Chicago: Lyceum Press.

McNutt, J.G. & Boland, K.M. (1999). Electronic Advocacy by Non-Profit Organizations in Social Welfare Policy. *Non-profit and Voluntary Sector Quarterly*. 28 (4), 432-451.

Milward, H.B. & Snyder, L.O. (1996). Electronic government: Linking citizens to public organizations through technology. *Journal of public administration research and theory*. 6(2), 261-275.

Pragmatic Advocacy in Pragmatic America: Evidence from Environmental Debates

The practice of advocacy is an essential democratic contribution of the nonprofit sector and civil society groups. Advocacy is a civic skill or "art of association" practiced routinely and expertly by nonprofit groups advocating a vision of the public good in many issue areas. Despite its importance, though, we know very little about the way in which nonprofit groups practice advocacy in everyday political involvements and how its practitioners think about their advocacy responsibilities and challenges. Too often, our understanding of advocacy drifts toward simplistic "special interests" criticisms of advocacy as nonprofits getting their hands unnecessarily dirty in the world of politics, or conceptions that restrict the definition of advocacy to giving "voice to the voiceless."

This paper draws from several empirical projects examining the actual practice of advocacy by groups involved in debates over environmental issues—groups on all sides of these debates—to make several conclusions about a particular "brand" of advocacy that seems pervasive in American civil society. This practice is labeled "pragmatic advocacy" and appears to have deep roots in American political culture. It involves being strategic and versatile in crafting a public good message, without abandoning the core of that message. It involves deciding pragmatically when to "posture" like a "True Believer" and when to "compromise" like "Dealmaker," and being able to do both well. In short, it involves being pragmatic rather than dogmatic, being savvy but not cynical.

The paper lays out the features of this “pragmatic advocacy” approach, as explained and displayed by these participants in environmental debates. And the paper traces the roots of this advocacy practice to prominent themes in American political culture such as pragmatism, the pragmatic doctrine of “self-interest properly understood,” and the belief that “politics is the art of the possible.”

Welfare Reform and Nonprofit Advocacy: Evidence from A Study of Massachusetts Nonprofit Organizations.

The passage of the personal responsibility and work opportunity Reconciliation Act of 1996 (PRWORA) represented a major transition in the American welfare state. It also has important implications for nonprofit organizations, their clients and communities. Since the time for reauthorization of this legislation is near, it is critical to ask what nonprofit advocates are doing to address this important policy issue. This study can provide some of that information.

This study looks at the practice of nonprofit advocacy around issues of welfare reform in a single state policy-making system. This provides a view of the institutional context that is not found in comparative state studies.

The study is a small scale qualitative study of nonprofit interest groups in Massachusetts that are active on welfare reform matters. The study examined strategy and tactics, organizational arrangements, membership, funding and other relevant issues. Subjects were selected using a panel of judges and represent a range of organizational types. Data was collected through in-depth qualitative interviews conducted with major stakeholders in the organization. In addition, a panel of practitioners reviewed the findings from the interviews. All material was coded and analyzed for themes and patterns.

This paper will provide nonprofit scholars with the opportunity to examine a set of nonprofit advocates within an organizational field and, more importantly, within a state political system. This should complement more global approaches to the study of advocacy within the sector.

Paper Number: PN022148.1

Paper Title: Electronic Government and Electronic Advocacy: An Empirical Exploration of Relationships and Patterns

Author(s):

Dr. John McNutt, Boston College, Chestnut Hill, MA, USA
Katherine Boland, Rowan University, Mount Laurel, NJ, USA
Dr. George Haskett, Marywood University, Scranton, PA, USA

Summary of Research

This paper reports research that examines the relationship between the level of e-government and the types of technology based tools that are used by nonprofit advocates. The research attempts to look at the effects that changing one part of the institutional framework of nonprofit governmental relations has on other areas.

Description

Electronic Government and Electronic Advocacy: An Empirical Exploration of Relationships and Patterns

The practice of nonprofit advocacy has always depended on the corresponding governmental institutions that we seek to influence. The rise of electronic advocacy (McNutt & Boland, 1999; Hicks & McNutt, 2002) within the nonprofit sector has had a profound impact on advocacy practice. The analogous governmental institutions are undergoing a transformation of their own--the movement to electronic or e-government (Milward & Snyder, 1996; Fountain, 2001).

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This study will contribute to nonprofit theory by providing a beginning examination of the important new area of non-profit-governmental relations. As e-government becomes part of the intervention of choice for many governments in a post 9/11, post anthrax world, the nonprofit section will need to consider its response.

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Milward, H.B. & Snyder, L.O. (1996). Electronic government: Linking citizens to public organizations through technology. Journal of public administration research and theory. 6(2), 261-275.

Paper Number: PN022148.3

Paper Title: Pragmatic Advocacy in Pragmatic America:

Author(s):

Mr. Michael Moody, Boston University, Boston, MA, USA

Summary of Research

This paper looks at advocacy and advocacy methodology within a civil society framework. Using data from several sources it argues that American advocacy is informed by a sense of pragmatism.

Description

Pragmatic Advocacy in Pragmatic America:
Evidence from Environmental Debates

The practice of advocacy is an essential democratic contribution of the nonprofit sector and civil society groups. Advocacy is a civic skill or “art of association” practiced routinely and expertly by nonprofit groups advocating a vision of the public good in many issue areas. Despite its importance, though, we know very little about the way in which nonprofit groups practice advocacy in everyday political involvements and how its practitioners think about their advocacy responsibilities and challenges. Too often, our understanding of advocacy drifts toward simplistic “special interests” criticisms of advocacy as nonprofits getting their hands unnecessarily dirty in the world of politics, or conceptions that restrict the definition of advocacy to giving “voice to the voiceless.”

This paper draws from several empirical projects examining the actual practice of advocacy by groups involved in debates over environmental issues—groups on all sides of these debates—to make several conclusions about a particular “brand” of advocacy that seems pervasive in American civil society. This practice is labeled “pragmatic advocacy” and appears to have deep roots in American political culture. It involves being strategic and versatile in crafting a public good message, without abandoning the core of that message. It involves deciding pragmatically when to “posture” like a “True Believer” and when to “compromise” like “Dealmaker,” and being able to do both well. In short, it involves being pragmatic rather than dogmatic, being savvy but not cynical.

The paper lays out the features of this “pragmatic advocacy” approach, as explained and displayed by these participants in environmental debates. And the paper traces the roots of this advocacy practice to prominent themes in American political culture such as pragmatism, the pragmatic doctrine of “self-interest properly understood,” and the belief that “politics is the art of the possible.”

Paper Number: PN022153

Paper Title: Volunteer Activity Measurement, Valuation and Management: Results from the 2001 International Year of Volunteers Research Program (Canada)

Author(s):

Michelle Goulbourne, Canadian Centre for Philanthropy, Toronto, Ontario, CAN

Description

Volunteer Activity Measurement, Valuation and Management:
Results from the 2001 International Year of Volunteers Research Program

Summary

The value of volunteering is widely recognized and promoted in Canada, but its economic value has rarely been explored. Nor has its cost, although organizations have argued for some time that recruiting, managing and supporting volunteers all require time and money.

The purpose of this panel is to share knowledge on the methods and applications of the economic value of volunteering created from 3 of the 14 research projects conducted as part of the 2001 International Year of Volunteers (IYV) 2001 Research Program (www.nonprofitscan.org/iyv.htm).

Background

The United Nations designated the year 2001 as the International Year of Volunteers. This resulted in many initiatives worldwide. One of Canada's objectives in participating in this endeavour was to put a research structure in place to engage academics and practitioners in building knowledge about volunteering and volunteerism in Canada.

Phase I of the research and knowledge building component of the IYV initiative focused on (a) identifying gaps in the body of knowledge on volunteering and volunteerism in Canada, and (b) designing a research program to improve the body of knowledge for the benefit of voluntary sector organizations and volunteers. Creating a body of knowledge on the value of volunteering was identified as one of the six priority areas in the final report, An Assessment of the Need to Improve the Body of Knowledge on Volunteers and Volunteering in Canada. Each of the three projects contributing to this panel were selected in Phase II of the IYV research program to help advance knowledge on the value of volunteering.

All of the papers submitted for this proposed panel are based on results from their IYV 2001 research projects conducted between April 2001 and March 2002.

Relationship of Proposed Panel to State of Knowledge

Canadians think volunteering is important and valuable to Canadian society and that volunteers make important contributions to voluntary/nonprofit organizations. Estimates based on the National Survey of Giving, Volunteering and Participating (NSGVP) show that volunteering in Canada was equivalent to 549,000 full time jobs in 2000 (Hall, McKeown & Roberts, 2001). A sector-wide needs assessment of the body of knowledge on volunteers and volunteering in Canada conducted by the Canadian Centre for Philanthropy stressed the need for better information about the costs and benefits of volunteering (Husbands, McKechnie & Gagnon, 2000). This assessment further noted that the ability to reliably estimate the benefits associated with volunteer-assisted activities can help the voluntary sector to demonstrate concretely the social and economic value of the organizations it comprises. In addition, as volunteering assumes even greater significance in national policy agendas and voluntary organizations respond to increasing pressure for efficiency, transparency and accountability, the values and costs of volunteers are coming under close scrutiny.

There are a number of reasons for exploring volunteer activity measurement, valuation and management. First, there is a substantial changes in the types of volunteers available to hospitals, people are replacing older volunteers with a corresponding decrease in long term commitments (Dow, 1997). In a recent report "Volunteerism in the Canadian Health Sector", LaPerriere (1998) notes the changes: a more educated and skilled volunteer who have identifiable goals for themselves besides community contribution; increased expectation of volunteers for interesting and varied assignments; difficulty in recruiting long-term volunteers in an environment yielding individuals willing to commit for short, well-defined periods of time; an increase in volunteers from diverse cultures; limited formal protection for volunteers, with an increased accountability requirement. Furthermore, there is a blurring between paid and unpaid work, which can lead to friction in unionized environments (Zahnd, 1997; Macduff, 1997). In this changing context, it is important to evaluate the benefits and costs of volunteer activity in the context of healthcare and in particular hospitals.

Second, volunteers in Canada are instrumental in programs or groups addressing critical social and community issues. As some studies show, although motivated by altruism, civic and voluntary work does have an economic value. If volunteer-assisted activities were withdrawn, either the quality of living in Canadian communities would decline. Also, government or the private sector would have to provide the lost services, possibly for fees. Despite its critical contribution, however, volunteer work goes unaccounted in most conventional economic evaluations like the GDP (Ross, 1990; Colman, 2001).

Third, not measuring voluntary work makes it invisible in the economic analyses that inform policy makers and influence the decisions of governments and businesses. As Ross (1990), Colman (2001), and Gaskin (1999) argue, more often than not, what is not counted and measured in monetary terms is insufficiently valued, and given less priority in policy processes. As a result, important volunteer-assisted activities may not receive the necessary support from governments and businesses, and remain largely outside the framework of policy discussions on the Canadian economy. Understanding the value of volunteering and cost-effectiveness make an impact on thinking around public policy.

Fourth, voluntary organizations and their communities may benefit tremendously by measuring the value of volunteering. Increasingly funders are demonstrating their understanding of the link between volunteer programs and enhanced community development by funding projects designed to enhance volunteer program management. Funders are also requesting volunteer statistics from organizations as part of grant applications and project evaluations. In these situations, volunteer contributions are seen to reflect community involvement and support. Volunteer administrators who are able to collect volunteer information and perform value-based calculations will be in a better position to provide these statistics to funders and others who require it.

While general measures of volunteer value are being used by some organizations as part of funding applications and contract negotiations, there is a need to introduce methodologies that more accurately reflect the true value of volunteer contributions. There is also a need to place the need for value-based statistics within the context of contemporary voluntary organizations and address the issues that arise.

Each of the three IYV 2001 projects described below are important as they attempt to assess the socio-political landscape in which the internal and external need for value based measures arises. Each project proposes a methodology voluntary organizations may use to assess volunteer value. Once done, all three projects examine the factors that impact on the capacity of voluntary organizations to adopt these methodologies. The implications surrounding the use of value based measures for different types of organizations are also explored.

IYV Research Project Summary

Femida Handy and Narasimhan Srinivasan's study, *The Impact of Changing Trends in Hospital Volunteering: Scope and Value*, examines the scope and value of volunteer activity in the midst of changing trends in health care services and a changing volunteer pool. This study makes contributions to the understanding of voluntary organizations by providing the micro and macro aspects of the role of

volunteers in hospitals, and the public policy implications: First, it will address the changing social and demographic trends and their effect on the volunteer pool and on volunteerism in hospitals. This study will also evaluate the role of volunteers in terms of costs and benefits to volunteers and hospital, as well as the contributions of volunteers in increasing the quality of care. In addition, it will explore the 'best practices' of successful volunteer administration and will assess the likely impact of an explicit monetary recognition for time donation and targeted funding to hospitals for use of volunteer services.

Jack Quarter, Laurie Mook-Sugurensky and BJ Richmonds study, *Calculating the Value Added of Volunteers* study, reflects on and attempt to reformulate the Social Return on Investment Model into a generalizable procedure for calculating the value added as a result of volunteers contributing to the community. While conventional accounting procedures have been implemented for non-profits (CICA, 1996), these procedures do not account for the unique nature of nonprofit organizations who rely heavily on volunteers (Campbell, 1998) whose primary assessors are funders and clients (Richmond, 1999). The inclusion of a value added statement is important because it demonstrates the implications of the organizations activities beyond profits for shareholders and sheds light on wealth created through the collective efforts of the organization and its volunteers to contribute to benefits in the surrounding community.

□□

Michelle Goulbourne and Don Embuldeniya's study, *Measuring the Economic Value of Volunteer Activity to Voluntary Organizations* creates a standard methodology that Canadian voluntary administrators may use to measure the extent to which their volunteers represent a return on their investment in recruitment, training, development and support. This study measures the dollar value of volunteers' contributions to voluntary and nonprofit organizations, and measure organizations' investment in volunteering. It uses NOC-S 2001 occupational classification system and accompanying wage rates to assess the economic value of volunteering. This study also goes beyond traditional cost-benefit analyses to suggest new measures of voluntary value. By exploring financial and human capital contributions of volunteers, and their implications on public policy, the research will advance understanding of the value of volunteering, and will help improve volunteer program management and organization sustainability.

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Paper Number: PN022153.1

Paper Title: Volunteers in Canadian Hospitals: Benefits and Costs

Author(s):

Dr. Femida Handy, York University, Toronto, CANADA

Dr. Narasimhan Srinivasan, University of Connecticut, Storrs, CT, USA

Summary of Research

This research examines the value of volunteers in the health care system in Canada. With the changing trends in voluntarism - changes in the types of volunteer assignments and the professional management of volunteers - the benefits and costs of having a volunteer program have changed for all participants involved. Thus we examine the benefits and the costs that accrue to the hospital that receives unpaid labor and the volunteer who provides the labor. We also assess the benefits to the recipient of care who might not otherwise get the service and the community where the hospital is located.

Description

Volunteerism is an important part of Canadian life, 7.5 million Canadians volunteered in 1997, for a total of 1.1 billion hours of which 10% was devoted to health organizations, i.e. for a total of 57,800 full-time year round job equivalents (Hall et al., 1998). Despite the shrinking of the volunteer pool and total number of hours contributed in 2000, more volunteering events and volunteer hours were directed towards health care organizations than in 1997 (Hall et al, 2001). As resources dedicated to healthcare shrink and costs of providing health care go up, a cost-attractive feature for hospitals is the unpaid labor provided by volunteers. Hence it is not surprising to see that the use of volunteers in the healthcare sector is increasing over the years.

However there is a substantial changes in the types of volunteers available to hospitals, people are replacing older volunteers with a corresponding decrease in long term commitments (Dow, 1997). In a recent report "Volunteerism in the Canadian Health Sector", LaPerriere (1998) notes the changes: (i) a more educated and skilled volunteer who have identifiable goals for themselves besides community contribution; (ii) increased expectation of volunteers for interesting and varied assignments; (iii) difficulty in recruiting long-term volunteers in an environment yielding individuals willing to commit for short, well-defined periods of time; (iv) an increase in volunteers from diverse cultures; (v) limited formal protection for volunteers, with an increased accountability requirement. Furthermore, there is a blurring between paid and unpaid work, which can lead to friction in unionized environments (Zahnd, 1997; Macduff, 1997).

In this changing context we evaluate the benefits and costs of volunteer activity in the context of healthcare and in particular hospitals. To do this we sampled the hospitals in and around the metropolitan region of Toronto. We limit our sample to those 35 out of 57 hospital sites, which use at least a hundred volunteers, and have at least one staff responsible for volunteer administration. This will help ensure that the focus remains on hospitals utilizing a sizeable volunteer input.

We conducted several preliminary discussions with the Director/Manager/Coordinator of Volunteer Services at four hospitals in the Greater Toronto Area, these discussions provided confirmation of the trends in the literature, and directions for this study.

In carrying out this study, we used a range of research instruments and questionnaires . We interviewed one or two individuals in each hospital, the administrator of volunteer resources and either the assistant or a volunteer coordinator, using structured questionnaires with some open-ended questions. In addition we surveyed 50 volunteers at each site using a self-administered survey. This survey was either mailed or conducted on site with the help of the manager of volunteer services and our research assistants. Respondents were selected randomly at those sites where numbers permitted and samples of convenience at other sites. Our response rate for these surveys is over 60%. To determine more fully the costs and benefits we also interviewed two hospital staff members at each site who used the greatest

number of volunteers. In each site we also interview the CEO and or the director of human resources to get a macro picture on the costs and benefits.

Using this rich data set, in this paper we concentrate on the information given to us from the volunteer surveys (We have presented the information collected from volunteer administrators and staff previously and will not repeat this information)

We evaluate benefits and costs to the volunteer in performing their duties based on the information given on the surveys which ask for detailed responses including the willingness to pay (or be paid) as well as their direct costs as well as their opportunity costs in undertaking volunteer duties. As many of our volunteers also contribute money we elicit information from them to help determine whether volunteering is a substitute or complement for donations to help resolve a longstanding debate in the literature on whether volunteering and donations are complements or substitutes.

We conclude by demonstrating how costs and benefits of volunteer activity can be measured, the factors that need to be accounted for, the challenges in assessing benefits and costs quantitatively and how some limited qualitative analysis can help in understanding the full picture of costs and benefits.

Paper Number: PN022153.2

Paper Title: Accounting for Volunteer Contributions: Attributing Monetary Values

Author(s):

Professor Jack Quarter, University of Toronto, Toronto, CANADA

Ms. Laurie Mook, OISE/University of Toronto, Toronto, ON, CANADA

Dr. Betty Jane Richmond, The Ontario Trillium Foundation, Toronto, CANADA

Summary of Research

This paper will discuss various techniques for attributing monetary value to volunteer contributions and other non-monetized social outcomes. It will argue the best approach is one that applies appropriate market comparisons for volunteer functions. This project applied Statistics Canada's North American Industrial Classification System (NAICS), using the average hourly wage for organizations classified according to economic activity. For each function, the closest match in the NAICS was used to calculate dollar value. This paper argues that using a system of this sort is preferable to applying an across the board dollar value for volunteer contributions, as other studies have done.

Description

This paper will discuss various techniques for attributing monetary value to volunteer contributions and other non-monetized social outcomes. It will argue that flexibility is required, but that the best approach is one that strives for appropriate market comparisons for volunteer functions. The paper is based on an International Year of the Volunteer Project that created an Expanded Value Added Statement for voluntary associations, and as part of that process, attributed a market value to particular volunteer functions. That project applied the North American Industrial Classification System (NAICS), produced by Statistics Canada, using the average hourly wage for organizations (including businesses, government institutions, unions, charitable and non-profit organizations) classified according to economic activity. For each function, we attempted to find the closest match in the NAICS to use in calculating the appropriate dollar value. This paper will argue that using a system of this sort is preferable to applying an across the board dollar value for volunteer contributions, as other studies have done.

This same study also attributed a dollar value to the personal benefits that volunteers gain from their experience. This technique will also be discussed.

Paper Number: PN022153.3

Paper Title: Volunteer Activity Measurement and Management: Current State and Implications for the Future

Author(s):

Michelle Goulbourne, Canadian Centre for Philanthropy, Toronto, Ontario, CAN

A-J McKechnie, Volunteer Canada, Toronto, Ontario, CAN

Summary of Research

This paper examines the way volunteer value measures are currently used in Canadian voluntary organizations and suggests a methodology that may be used to enhance both volunteer program management and organization sustainability. Since many voluntary organizations do not have a system in place for tracking volunteer activities, expenditures or managing budgets we suggest the use of software to help manage volunteer programs and automating value based calculations. The implications this may have for volunteer program management, evaluation and capacity are also discussed.

Description

This paper examines the way volunteer value measures are currently used in Canadian voluntary organizations and suggests a methodology that may be used to enhance volunteer program management and organization sustainability.

This paper is based on the Measuring the Economic Value of Volunteering for Voluntary Organizations research project the Canadian Centre for Philanthropy conducted in partnership with Volunteer Canada for the IYV 2001 research program. The results presented in this paper are based on questionnaires completed by twelve voluntary organizations and 478 of their volunteers.

We describe the costs and experiences associated with conducting and participating in volunteer programs. A standard methodology for assigning value to volunteer positions is also presented. This approach uses the National Occupational Classification for Statistics 2001 (NOC-S). Additional value based calculations that go beyond cost-benefit type analyses are also introduced. Since many voluntary organizations do not have systems in place for tracking volunteer activities, expenditures or managing budgets we suggest the use of software to assist in the management of volunteer programs and automating value based calculations. The implications this may have for volunteer program management, evaluation and capacity are also discussed.

Paper Number: PN022153.4

Paper Title: Measuring Economic Value of Volunteering: Research Findings from Canada and Europe

Author(s):

Dr. Katharine Gaskin, Gaskin Research and Consultancy, Leics, England, UK
Michelle Goulbourne, Canadian Centre for Philanthropy, Toronto, Ontario, CAN
Dr. Angela Ellis, Institute for Volunteering Research, London, England, UK

Summary of Research

This paper will present a comparative analysis of economic value of volunteering in Canada and Europe. The paper is based on research conducted by the Institute for Volunteering Research (UK) and the Canadian Centre for Philanthropy on the economic value of volunteering. We will compare methodological approaches to measuring the economic value of volunteering. We will then discuss how this information can be used to enhance capacity within voluntary organizations, particularly the utility of applications of value-based measures for volunteer management and administration. The paper will conclude by addressing public policy implications of value-based measures in Europe and Canada.

Description

This paper will present a comparative analysis of economic value of volunteering in Canada and Europe. The paper is based on research conducted by Kathy Gaskin for the Institute for Volunteering Research (UK) and the Canadian Centre for Philanthropy on the economic value of volunteering. The paper suggests that measuring voluntary activities provides information that organizations can use to build their organizational capacity: enhance volunteer involvement, improve effectiveness of volunteer programs and volunteer administration. In addition, value-based evaluations of volunteer contributions makes visible the financial value of volunteering in the analyses that inform policy makers and influence the decisions of governments and businesses.

The paper will address research findings from Europe and Canada in a comparative perspective. We will compare methodological approaches to measuring the economic value of volunteering. We will then go on to discuss how this information can be used to enhance capacity within voluntary organizations, particularly the utility of applications of value-based measures for volunteer management and administration. The paper will conclude by addressing public policy implications of value-based measures in Canada and Europe.

Paper Number: PN022165

Paper Title: Securing the Best from High Level Volunteers:

Author(s):

Mr. Paul Salipante, Case Western Reserve University, Cleveland Heights, OH, USA

Description

From a human capital perspective, the willingness of skilled, high status individuals to volunteer their energies and abilities to nonprofit sector initiatives provides a major benefit to the sector, a free resource of extraordinary potential value. Such individuals can be found in governance roles on nonprofit boards, and in leadership positions on the operational side of nonprofit organizations, such as leading capital (fund-raising) campaigns. However, it is far from clear that nonprofit organizations actually utilize these high level human assets close to their full capabilities. Many problems arise when high level volunteers interact with professional executives, staff members, and consultants. There are frequent and significant problems in the clash of professionalism and voluntarism, intimately related to the question of who takes responsibility for the organization and its mission achievement. Some of these are relational issues that inhibit the expression of volunteers' existing skills and knowledge and the development of new knowledge uniquely needed in nonprofit organizations. There is the ever-present danger that the professionalizing of nonprofit managers and fund-raisers can erode volunteer leadership (Pearce, 1993; Ilsley, 1990) or that the sharing of responsibility with volunteer leaders limits the development of professionalism and quality in nonprofit management (Kelly, 1998; Young, 1987). This panel of practitioner-scholars from the Mandel Center's Executive Doctor in Management Program will examine these issues of volunteer-professional activity. The panelists' papers will provide insights into practices that can address the challenges, based upon participant observation of nonprofit settings where professionals and high level volunteers attempt to produce joint benefits.

The governance literature has frequently attempted to address the above issues, and a range of literature presents a reasonably common understanding of the basic roles of the nonprofit board and the CEO (c.f., Chait, 1996; Houle, 1989; Heimovics, 1997). Yet, practice remains problematic. In particular, there is a central tension about responsibility for the organization. Despite the legal stewardship responsibilities of boards, the expertise and access to information possessed by professional CEO's typically make them most central to the organization's functioning, both operationally and psychologically (Heimovics, Herman et al., 1995). CEO's often take actions to control high level volunteers on their boards. All too frequently, there exists a lack of concepts and skills needed for high level board members and professional nonprofit executives to work jointly to generate and maintain social legitimacy for the organization, and to ensure its operational effectiveness. A related dimension of the problem is that high level volunteers are often brought onto boards for their contacts and the prestige that they lend to the organization. They feel, however, that the substantial skills and knowledge in management and administration that they bring to the board is often ignored, and their time inefficiently used. Given these contemporary realities, research is needed that freshly examines the actual experiences of high level volunteers and top nonprofit managers as they interact to shape their organization and its capabilities. Two of the panelists, whose own lives and roles center them in such interactions, one on the staff side and one on the volunteer side, will report on exactly such research.

The difficulties of effectively partnering professionals and high-level volunteers are also manifested in the pairing of fund-raising consultants and high-level volunteers in capital campaigns. Individuals in the former, professional group are typically conceived of as the experts whose role is to lead the newcomers, the volunteers in the campaign, in acquiring the skills needed for campaign success. The presumed parallel is with master-apprentice relationships (Lave & Wenger, 1991). Yet, the high-level volunteers invariably are of higher socioeconomic status than the professionals, are accustomed to leadership roles, and are experts in domains of knowledge required for successful outcomes. Conflict easily ensues (Joyeaux, 1994). In such fund-raising situations, as in board situations, it is understandable that volunteers' interest may wane and that CEO's and practitioners then bemoan

volunteers' commitment. Volunteer management literature reflects the managers' concerns, investigating motivations and searching for rewards and practices that can sustain high motivation.

Given the above-mentioned variety of difficulties, the challenge in all leadership and governance situations involving high level volunteers and nonprofit professionals is to combine their diverse skills, knowledge and energies, rather than apportioning responsibilities and constraining volunteers' contributions. Based on their ethnographic inquiries, such is the common theme of the panelists.

Bart Morrison's paper proceeds from an extended ethnographic investigation of governance in a new nonprofit organization. It portrays a governance environment marked by contradictory notions of accountability that give rise to contradictory notions of strategy making. The volunteer-professional pair conceives of their primary leadership responsibility as making strategy. They succeed in fulfilling this responsibility as a unified force, all the while struggling with the tension between deliberate planning and incremental, emergent action. The study indicates the value of an integrated approach to planning that blends deliberate and emergent modes in different measures, according to shifting conditions and requirements of the moment. The approach is shown to be an effective strategy for volunteer-professional pairs to help their organizations achieve social and economic accountability.

The paper by Joe Mandato examines the experiences of new board members across a wide range of nonprofits, as well as ongoing board processes in a few intensive case studies. This inquiry asks: Are the rich skill sets often brought by high-level volunteers used to their maximum advantage by nonprofit management? His inquiries suggest four stages of responses by new board members to their utilization by nonprofit organizations, with one critical stage being substantial disappointment with the utilization of their knowledge. The final stage is one of re-commitment, but at a sub-optimal level between what the volunteer believes could be contributed and what the organizations' top managers find appropriate.

On a related theme, Don Zielstra's paper, on approaches used to manage capital campaigns involving high level volunteers, produces understanding of two contrasting models: The conventional, "best practices" approach, labeled the development and recognition model, which stresses formal practices to train and manage volunteers so that they can carry out prescribed tasks, an approach best developed by Cnaan & Cascio (1999); and a more relational approach, labeled the situated/reciprocal learning model, founded on the situated learning concepts of Lave & Wenger (1991). The latter model moves beyond the conventional one by focusing on the quality of the relationship as an emerging partnership that draws on asymmetrically distributed knowledge, power and status.

(References available upon request.)

Paper Number: PN022165.1

Paper Title: An Ethnographic Inquiry into the Utilization of Board Members' Skills

Author(s):

Mr. Joseph M Mandato, Mandel Center for Nonprofit Organizations, Weatherhead School of Manag, Ath

Summary of Research

This paper examines the experiences of new board members across a wide range of nonprofits, as well as ongoing board processes in a few intensive case studies. This inquiry asks: Are the rich skill sets often brought by high-level volunteers used to their maximum advantage by nonprofit management?

Description

The paper by Joe Mandato examines the experiences of new board members across a wide range of nonprofits, as well as ongoing board processes in a few intensive case studies. This inquiry asks: Are the rich skill sets often brought by high-level volunteers used to their maximum advantage by nonprofit management? His inquiries suggest four stages of responses by new board members to their utilization by nonprofit organizations, with one critical stage being substantial disappointment with the utilization of their knowledge. The final stage is one of re-commitment, but at a sub-optimal level between what the volunteer believes could be contributed and what the organizations' top managers find appropriate. (Please refer to panel overview for more information.)

Paper Number: PN022165.2

Paper Title: President-CEO Interaction in Search of Strategy and Accountability

Author(s):

Mr. J. Bart Morrison, Case Western Research, Cape Elizabeth, ME, USA

Summary of Research

This paper proceeds from an extended ethnographic investigation of governance in a new nonprofit organization. It portrays a governance environment marked by contradictory notions of accountability that give rise to contradictory notions of strategy making. The volunteer-professional pair conceives of their primary leadership responsibility as making strategy. They succeed in fulfilling this responsibility as a unified force, all the while struggling with the tension between deliberate planning and incremental, emergent action.

Description

Bart Morrison's paper proceeds from an extended ethnographic investigation of governance in a new nonprofit organization. It portrays a governance environment marked by contradictory notions of accountability that give rise to contradictory notions of strategy making. The volunteer-professional pair conceives of their primary leadership responsibility as making strategy. They succeed in fulfilling this responsibility as a unified force, all the while struggling with the tension between deliberate planning and incremental, emergent action. The study indicates the value of an integrated approach to planning that blends deliberate and emergent modes in different measures, according to shifting conditions and requirements of the moment. The approach is shown to be an effective strategy for volunteer-professional pairs to help their organizations achieve social and economic accountability. (Please refer to panel overview for more information.)

Paper Number: PN022165.3

Paper Title: Relational Learning among Practitioners and High-Level Volunteers in Capital Campaigns

Author(s):

Mr. Donald Zeilstra, Weatherhead School of Management, E. Grand Rapids, MI, USA

Summary of Research

This paper, which analyzes the approaches used to manage capital campaigns involving high level volunteers, produces understanding of two contrasting models: The conventional, “best practices” approach, labeled the development and recognition model, which stresses formal practices to train and manage volunteers so that they can carry out prescribed tasks, an approach best developed by Cnaan & Cascio (1999); and a more relational approach, labeled the situated/reciprocal learning model, founded on the situated learning concepts of Lave & Wenger (1991).

Description

Don Zeilstra’s paper, on approaches used to manage capital campaigns involving high level volunteers, produces understanding of two contrasting models: The conventional, “best practices” approach, labeled the development and recognition model, which stresses formal practices to train and manage volunteers so that they can carry out prescribed tasks, an approach best developed by Cnaan & Cascio (1999); and a more relational approach, labeled the situated/reciprocal learning model, founded on the situated learning concepts of Lave & Wenger (1991). The latter model moves beyond the conventional one by focusing on the quality of the relationship as an emerging partnership that draws on asymmetrically distributed knowledge, power and status.
(Please refer to panel overview for more information.)

Paper Number: PN022164

Paper Title: Bridging the Worlds of Scholars and Practitioners: The Use of Ethnographic Methods to Produce Practical Knowledge:

Author(s):

Mr. J. Bart Morrison, Case Western Reserve University, Cape Elizabeth, ME, USA

Description

Problems in producing scholarly knowledge that is utilized by practitioners have been widely acknowledged (c.f., Schon, 1995). At the ARNOVA conference in 2001, in response to several paper and panel sessions, a dialogue was started concerning processes for engaging practitioners and scholars in the production of knowledge. The challenges and potential of approaches such as participatory action research (Reason & Bradbury, 2000) and practitioner-scholarship (Aram & Salipante, 2000) were considered. This panel will extend the discussion about practitioner-scholars, also termed "pracademics" (VanTil, 2000), by considering the research methods that several such scholars have relied upon to produce rigorous yet practically relevant studies. The experience of these panelists – each of whom comes from a practitioner background and is engaged in doctoral study – is that ethnographic (participant-observation) methods have been potent in connecting the conceptual world with the practical world. The panel will critically assess why and how this has been the case.

A first challenge for practitioners who are striving to become scholars is to learn the epistemological nature of inquiry and become skilled in particular methods of fieldwork and analysis. Quantitative inquiry's based in statistics is daunting for many practitioners, and its reductionist nature connects poorly with their knowledge of the complexity of practice (Mintzberg, 1983; Wenger, 1998). The panelists' experience is that ethnography can be learned relatively easily by practitioners whose well-developed skills of observation are readily applied to fieldwork methods. Practitioner-scholarship requires a starting point defined not in terms of theory but of a specific practical problem or issue (Aram & Salipante, 2000). Ethnography is well-suited in this regard since its starting point and defining nature is the choice of a particular context (Sanday, 1983). This choice is readily made in terms of a setting in which the problem is in active operation. Such is the case for the studies performed by all of the panelists. The ethnographic processes of analytic induction and integration with extant literature (LeCompte & Preissle, 1993) enable practitioners to start with the direct experiences of practitioners, as they are observed and collected in fieldnotes, and then connect these with concepts that lend insight to the fieldnotes. The rigor of formal analysis of fieldnotes and connection with informative concepts allows practitioner-scholars to develop an appreciation for the skill and integrity needed to produce scholarship, yet these activities are never disconnected from the practitioner-subjects' experiences evident in the researcher's data. The goal of producing "thick description" (Geertz, 1973) is challenging but never divorces the researcher from the complex ground of practice. Thus, ethnographic inquiry is an approach that enables experienced practitioners to enter the world of scholarship, leverage their practitioner skills, and imbue them with the rigor of research. It enables them to become scholars while retaining their practitioner knowledge and their concern with the practical relevance of the knowledge that they produce.

As with participatory action research, ethnographic inquiry provides opportunities for practitioners to participate with scholars in the knowledge production process. Ethnography makes extensive use of "informants" (c.f., Whyte, 1955; Spradley, 1979), subjects who take on the role of interpreting practitioner experiences for the researcher. Such active involvement of practitioner-subjects not only keeps the research connected to practitioners' realities and knowledge needs, it also provides the researcher with co-inquirers who can guide the study's interpretations, findings, and conclusions about effective practice. Two of the panel's papers will discuss such relationships with informant-subjects, and consider ways in which ethnographic inquiry overcomes practitioners' typical skepticism about the relevance of research.

A significant problem for scholarship that seeks to be relevant is its abstraction. The analysis reaches such a point of abstraction (e.g., "goal displacement") that it has difficulty reconnecting with grounded

practice. Implications for practice are couched in general and abstract terms that must be translated into the potential user's own specific context. Since ethnographic studies are rooted in specific contexts, and since their findings carry context with them (Noblit & Hare, 1988), implications for practice are direct and framed as actions directly observed in the studies.

Two of the panelists' papers will consider the issue of moving from practical problem to studied context to practical implications. Margaret Drugovich's study proceeds from the problem of private liberal arts colleges attracting sufficient students to maintain their financial viability and succeed with their educational mission. The study explores the formulation of student perceptions about the process, content, and resultant value of the liberal arts experience and the impact of these perceptions during the decision phase of the college search process. This ethnographic inquiry has produced insights not found in the many survey research studies done on this subject, and suggests ways to reshape the practitioner's approach to students during the recruitment phase and the institution's relationship to students once they are on campus. Lori Brohm's research proceeds from a concern with the development of emotional intelligence competencies in workplaces. To investigate the development of such competencies, she examined a very different setting, a girls' soccer team, where intensive development is more prevalent and visible than in routine organizational contexts. By observing the interactions of coaches with players, a model for developing others has emerged. Through examination of her personal learning from this study, the practitioner-scholar has been able to transfer the knowledge gained in the studied setting to her normal work context.

The other two panel papers explore the relationship of ethnographic researcher to practitioner subjects, as they interact to produce practical knowledge. Stephen Brand has studied workplace passion and office dynamics in the arts. In addition to directly observing the impact of physical space on informal network creation and collaboration, he has solicited practitioners from an additional set of arts institutions to observe their own organizations as informants. Insights from informants sparked his choice of focus and were useful in verifying his directions and interpretations. His experiences indicate the relative ease with which practitioners can learn the rudiments of participant-observation and contribute directly to ethnographic research. Bart Morrison's paper explores the development of more intensive relationships with a very small number of key informants. He has studied the meaning of the nonprofit governance experience, as observed naturalistically and expressed by leaders in their own words and concepts. His work attempts to get at the essential aspects of the human experience of governing from the perspective of chair/chief executive pairs. Reflections on recent experiences studying a single pair intensely over a relatively long period has produced a detailed personal account of the challenges and benefits of practitioner-scholar engagement in ethnographic work.

Panelists

All panelists are Nonprofit Fellows co-sponsored by the Mandel Center for Nonprofit Management and the Executive Doctor in Management Program of the Weatherhead School of Management, Case Western Reserve University.

Stephen S. Brand
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J. Bart Morrison
Director, New Ventures in Philanthropy
Washington, D.C.
E-mail: jmorrison@maine.rr.com

References are available upon request.

Paper Number: PN022164.1

Paper Title: An ethnographic approach to understanding the construction of student perceptions about the relative value of the liberal arts experience and the impact of these perceptions on the

Author(s):

Margaret L. Drugovich, Ohio Wesleyan University, Delaware, OH, USA

Summary of Research

This study proceeds from the problem of private liberal arts colleges attracting sufficient students to maintain their financial viability and succeed with their educational mission. The study explores the formulation of student perceptions about the process, content, and resultant value of the liberal arts experience and the impact of these perceptions during the decision phase of the college search process.

Description

This study proceeds from the problem of private liberal arts colleges attracting sufficient students to maintain their financial viability and succeed with their educational mission. The study explores the formulation of student perceptions about the process, content, and resultant value of the liberal arts experience and the impact of these perceptions during the decision phase of the college search process. This ethnographic inquiry has produced insights not found in the many survey research studies done on this subject, and suggests ways to reshape the practitioner's approach to students during the recruitment phase and the institution's relationship to students once they are on campus.

Paper Number: PN022164.2

Paper Title: Goal!!! Emotional Intelligence, A Key to Success

Author(s):

Lori A. Brohm, Samaritan Regional Health System, Ashland, OH, USA

Summary of Research

This study proceeds from a concern with the development of emotional intelligence competencies in workplaces. To investigate the development of such competencies, she examined a very different setting, a girls' soccer team, where intensive development is more prevalent and visible than in routine organizational contexts.

Description

This study proceeds from a concern with the development of emotional intelligence competencies in workplaces. To investigate the development of such competencies, she examined a very different setting, a girls' soccer team, where intensive development is more prevalent and visible than in routine organizational contexts. By observing the interactions of coaches with players, a model for developing others has emerged. Through examination of her personal learning from this study, the practitioner-scholar has been able to transfer the knowledge gained in the studied setting to her normal work context.

Paper Number: PN022164.3

Paper Title: Workplace Passion and Office Dynamics in the Arts

Author(s):

Stephen Brand, The New Enterprise Factory, Akron, OH, USA

Summary of Research

Stephen Brand has studied workplace passion and office dynamics in the arts. In addition to directly observing the impact of physical space on informal network creation and collaboration, he has solicited practitioners from an additional set of arts institutions to observe their own organizations as informants.

Description

Stephen Brand has studied workplace passion and office dynamics in the arts. In addition to directly observing the impact of physical space on informal network creation and collaboration, he has solicited practitioners from an additional set of arts institutions to observe their own organizations as informants. Insights from informants sparked his choice of focus and were useful in verifying his directions and interpretations. His experiences indicate the relative ease with which practitioners can learn the rudiments of participant-observation and contribute directly to ethnographic research.

Paper Number: PN022164.4

Paper Title: Challenges and Benefits of Practitioner- Scholar Engagement in Ethnographic Research

Author(s):

Mr. J. Bart Morrison, Case Western Reserve University, Cape Elizabeth, ME, USA

Summary of Research

This paper explores the development of more intensive relationships with a very small number of key informants. Reflections on recent experiences studying a single chair/chief executive pair intensely over a relatively long period has produced a detailed personal account of the challenges and benefits of practitioner- scholar engagement in ethnographic work.

Description

This paper explores the development of more intensive relationships with a very small number of key informants. The author has studied the meaning of the nonprofit governance experience, as observed naturalistically and expressed by leaders in their own words and concepts. His work attempts to get at the essential aspects of the human experience of governing from the perspective of chair/chief executive pairs. Reflections on recent experiences studying a single pair intensely over a relatively long period has produced a detailed personal account of the challenges and benefits of practitioner- scholar engagement in ethnographic work.

Paper Number: PA021195

Paper Title: Community Organizing Networks Effectively Leveraging Resources

Author(s):

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

Dr. Pamela Zappardino, Western Maryland State College, Union Town, MD, USA

Summary of Research

In fall 2000, the Pathways Out of Poverty program at the C.S. Mott Foundation, commissioned a research study of community organizing networks grants made between 1997 - 2000. The goal was to identify to what extent, community organizing networks are able to use organizing campaigns as a vehicle for increasing financial support into communities. Classically, community organizing has been perceived as a mechanism for civic engagement, democracy enhancement and social empowerment. This study focuses on the possible economic capital brought into a community as a direct result of community organizing network efforts within a region, state or community.

Description

PRESENTATION/PAPER TITLE:

COMMUNITY ORGANIZING NETWORKS EFFECTIVELY LEVERAGING RESOURCES

Key words: community organizing, community development, effective grantmaking, action-based research, philanthropy, foundations

In the fall 2000, an initial research study was commissioned by the Pathways Out of Poverty program at the C.S. Mott Foundation, U.S.A. assessing grants made to community organizing networks from 1997 – 2000. A preliminary assessment of community organizing grants was conducted by an independent consulting and research firm. The goal of the study was to identify if, how and to what extent, community organizing networks are able to use community organizing campaigns as a vehicle for increasing the levels of financial and resource support into their communities. Classically, community organizing has been perceived as a mechanism for civic engagement, democracy enhancement and social empowerment. This study focuses on the possible economic capital that is brought into a community as a direct result of community organizing network efforts within a region, state or community. Several objectives were identified in association with the research:

- investigation of the annual financial impact over \$1 million with an emphasis on those organizations garnering \$5 million or more

- assembling brief accounts of the various community organizing campaigns which were the impetus and facilitators of the acquisition of financial and other resources into communities

- implications of this preliminary study, identification and suggestions of further research to be conducted

The methodology of the assessment was primary research using semi-structured open-ended telephone interviews of executive directors of the ten programs. Additionally, review of secondary materials, e.g. newspaper clippings, magazine articles, website articles, etc. was used to substantiate findings.

The impetus for this initial assessment is the desire to test two hypotheses:

- 1) Community organizing (and therefore, community organizing networks/groups) acts as a tool for effective community engagement and civic participation which creates the mechanism for under-resourced communities to access financial and other resources for their neighborhoods.

- 2) Grantmaking in community organizing networks leverages initial grant allocations to expand the depth

and scope of monies distributed into under-resourced communities.

To test these hypotheses a preliminary assessment was conducted to identify actual dollar amounts garnered by the ten Mott grantees within various communities across the country over a three year period. The report includes an overall identification of the issue areas addressed in the community organizing campaigns, the rationale of using community organizing as a tool for social change and community empowerment, in addition to, the financial impact of the community organizing campaigns.

This research focuses on several key areas of interest to ARNOVA:

- examination of grantmaking to networks and how it leverages resources, catalyzing a discussion of both grantmaking, organizational effectiveness and community development.
- discussion of how community organizing networks significantly leverage social and economic capital resources
- conducting action-based research which simultaneously benefits various constituencies

This research presentation is geared towards individuals investigating and studying effective means of poverty alleviation, community organizing networks and action-based research. Community organizing is often seen as an adjunct to more hardcore long term approaches. Generally, community organizing is primarily appraised as a methodology for its “soft” impact on poverty: countering complacency by increasing civic participation, developing leadership skills in communities sometimes consumed by a lack of direction and giving a sense of “empowerment” in disenfranchised communities.

However, preliminary data indicate that another measure of a community organization’s effectiveness may be found in its ability to move economic resources into previously deprived areas. Research suggests that a selection of Mott grantees have proven extremely effective in gaining the allocation of billions of dollars for schools, health care coverage, improved teacher practices, community based economic development, and even national low income assistance programs.

The format of the presentation will be highly interactive large and small group discussion; a Powerpoint presentation of preliminary research results; and a discussion of several case studies of community organizing networks.

Paper Number: PA021336

Paper Title: Production and Accountability in Nonprofit Housing Organizations

Author(s):

Dr. C. Theodore Koebel, Virginia Tech, Blacksburg, VA, USA

Summary of Research

The capacity of nonprofit housing organizations to produce low-income housing has surfaced as a significant component in the study of low-income housing. This research provides quantifiable measures of association between production and other characteristics of the organization, including board involvement. The study reveals that many of the common generalizations about NHOs may not be accurate. Age of organization, number of volunteers, and committee structure do not have the expected effect on output. Insight into the integral components of NHO production capability may serve as a capacity-building device for these housing organizations.

Description

Nonprofit housing organizations (NHOs) exist in society today to fill the gap left between private and public sector housing providers. These organizations surface in situations where normal contracts with for-profit organizations are not sufficient to meet community needs (Koebel, 1998, p.25). NHOs are private corporations with a board of directors who volunteer their time and services, and most have paid staff. But unlike for-profit firms in the private sector, NHOs are "mission driven" instead of profit maximizing corporations. The combination of social purpose and sound business practices has been described as a "double bottom line" (Bratt et al., 1995, p.71).

□As the "devolution" of the federal government continues, NHOs are increasingly important in helping meet low-income housing needs. With this increased reliance, production and output become integral factors in evaluating the performance of these organizations. As competition tightens in gaining funding, organizations have been required to "produce quantifiable measures of program achievement" (Hodgkinson et al., 1996, p.17). Housing production from NHOs has increased significantly, starting in the late 1980s, with 400,000 units completed by 1994, nearly 30% of which was completed from 1991 to 1993 (Steinbach, 1995, p.2). Housing production by these organizations has continued to increase in the face of a shrinking nonprofit sector (Hodgkinson et al., 1996, p.16). Even with this increasing rate of housing production and policy support, the efforts continue to fall short of need (Schwartz & Randall, 1993, p.1). Production is hypothesized to continue to be a major emphasis for organizations providing housing services, especially with increasing support from intermediaries (Vidal, 1995, p.218).

The literature on NHOs has concentrated primarily on describing the sector and its capacity to deliver goods and services. Attempts to describe relationships that contribute to this output capacity have been made through anecdotal and speculative modes only. Empirical evidence detailing the nature of relationships that exist in NHOs, those which lead to output capability, is noticeably lacking from this pool of literature. Production increases have been attributed to access to government funding and subsidies (Pamuk & Savron, 1996, p.19). Similarly, conflicts between funding source requirements and nonprofit needs, identified as an ideological "culture gap," have been identified as impediments to housing production (Gold, p.34, 1992). The importance of intermediaries has been well-documented in the literature for capacity-building capabilities (Walker, 1993, p.394, Keyes et al, 1996, p.209).

The National Congress for Community Economic Development has done the most comprehensive set of surveys of community-based development organizations. The reports that arise from these surveys were published in 1988, 1991, and 1995. "Tying It All Together," the report from 1995, begins by stating, "This Census examines the concrete achievements of local nonprofit organizations" (Steinbach, 1995, p.1). This report, like the others before it, follows this statement with descriptive statistics detailing the output and demographics of the responding organizations. This report conveys impressive statistical information on the total output for the United States, but does not attempt to draw any conclusion regarding how these organizations achieve this production, other than relaying the importance of funding (Steinbach, 1995, 4). The various nonprofit almanacs also convey similar information regarding NHO output.

□The research into funding has been expanded upon further to begin to describe the relationship

funding has on growth potential and service provision. Gronbjerg reports an occurrence of organizations not reporting shrinkage in service activities, even when declining revenues have been documented, which brings the connection between funding and services into question (Gronbjerg, 1993, p.306). From this discovery, the author contests that purely economic measures are not adequate in "assessing the performance of nonprofits" (Gronbjerg, 1993, p.307). By merely addressing "economic measures of success," the researcher overlooks a number of organizations who run effective programs, but do not have access to the "networks" and "marketing efforts" of the high-profile organizations (Gronbjerg, 1993, p.308). Other measures of output are often overlooked, because they are seemingly more difficult to quantify. The study presented in this paper attempts to address some of these other measures of output and describe their relationship with other organizational variables.

□ Previous research on this data shows a small number of very large organizations that tend to dominate the sector. These NHOs account for the great majority of total employment, volunteers, total annual budget, and people served for the sector as a whole. These findings are supported by conclusions reached by Galaskiewicz and Bielefeld. The authors write, "In niches where resources are more concentrated, dominant organizations can collude on price or overhead costs and increase their revenues" (Galaskiewicz & Bielefeld, 1998, p.88). Smaller organizations also benefit in this market, by adoption of strategies designed by the larger organizations. The niches refer to organizations that compete for volunteers, employees, grants, etc. (Galaskiewicz & Bielefeld, 1998, p.85). The occurrence of "niche" sectors are identified and lauded in other pieces of literature for their ability to release some nonprofits from being compelled into housing production (Koebel, 1998, p.263). The current research will build upon the work already done on this data, and will identify the characteristics that contribute to the output capability of NHOs.

□ This study identifies five measures of output for NHOs and explains the relationship that exists between selected characteristics and these measures. With some insight into what affects production of NHOs, the possibility for improvement exists. This research attempts to shed some light on this meaningful aspect of low-income housing production.

□ Output and production capabilities of NHOs are key components in low-income housing delivery. These organizations are relied upon heavily for a sizable addition to the housing stock each year. These organizations continue to provide affordable housing, while funding becomes scarcer.

□ Most of the selected variables were consistent throughout the different models and output measures. The size of the board of directors and committee structure remain surprisingly insignificant across the output measures. Also interestingly, geographic area served is not an important variable in regards to output. Those organizations serving the state have no comparative advantage over those serving only a neighborhood. Diversity in services offered did not equal a greater level of output, possibly suggesting that "less is more" in housing service delivery. Conversely, diversity in the types of development undertaken does have a positive effect on output. Organizations participating in a number of construction and repair activities are no doubt those large organizations with able support staff and a sizable budget. The payroll variable expands the notion of larger organizations having greater output, as it reaches significance in the majority of the measures. A national affiliation appears to hold an advantage in the type of organization variable. This stands to reason when the availability of funding and intermediary support has become such an important part of the daily operations of these organizations.

Paper Number: PA021364

Paper Title: Board Structures and Successful CDCs: Modeling the Ways

Author(s):

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Summary of Research

This paper explores the roles played by the boards of trustees of Community Development Corporations (CDCs) from founding through transition with an emphasis on modeling the structures, processes, and compositions most typically associated with organizational survival, growth, and effectiveness. We draw on the generic literature of nonprofit board effectiveness and organizational effectiveness to provide background and/or counterpoint to the specific issues related to governance of CDCs. We consider the findings published during NCDI's first decade as we (re)model the role of the environment and other contextual variables on the social construction of both CDC board effectiveness and organizational effectiveness.

Description

Over ten years of funding from the National Community Development Initiative (NCDI) has helped to nurture the nascent field of Community Development Corporations (CDC). As the founding individuals and organizations mature, these organizations find themselves on the cusp of impending isomorphism, structuration and professionalization. Just as founders begin to relinquish reigns on their organizations, the roles of the boards of directors are injected with new relevancy; or so it would seem. It is the intention of this paper to explore the roles played by the boards of trustees of CDCs from founding through transition with an emphasis on modeling the structures, processes, and compositions most typically associated with organizational survival, growth, and effectiveness. We draw on the generic literature of nonprofit board effectiveness and organizational effectiveness to provide background and/or counterpoint to the specific issues related to governance of CDCs. Specifically we hypothesize the impact of board structures (including size, committee structure, etc.), compositions (reflections of communities, reflections of operating environment exigencies, reflections of friendship and/or patronage networks, etc.), and processes (internal relationships, relationships with founders, planning capacity, assessment capacity, legal compliance, etc) on organizational "success" (including survival, growth, mission fulfillment, and access to resources). We consider the findings published during NCDI's first decade as we (re)model the role of the environment and other contextual variables on the social construction of both CDC board effectiveness and organizational effectiveness.

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Paper Number: PA021556

Paper Title: Leadership in NGOs: Building strong rural communities through transformational leadership

Author(s):

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Summary of Research

In the past decade, development workers have accumulated a wealth of experiences and knowledge related to social change. However, many of these experiences have not been documented and analyzed to provide references that contribute to community action. Using a case study approach, this paper analyzes how three sites of an NGO-based rural education program have contributed to community development. The paper further examines the extent to which the transformational leadership style of site monitors has contributed to the sites' success in meeting program objectives. The results provide new perspectives on how differences in leadership style contribute to successful community development.

Description

NGOs have an important role to play in educating and providing support to a new generation of community leaders. In Brazil, the number of NGOs involved with rural community development has grown substantially in the last ten years. Effective community leadership is particularly important given the increased complexity of Brazil's social, economic, political, and educational problems. These problems and pressures call for transformational leadership and those who get involved in development, whether as community based facilitators or local NGO staff and leadership do so with the desire to assist in improving the social situations of marginalized populations and bring about self-sustaining changes (O'Gorman, 1998).

Community development is a process whereby communities pursue access and the means to make life-enhancing choices. While many view leaders as people who hold some formal position of leadership, communities today need leaders who are able to effect positive change for the betterment of others and society. As NGOs add, modify and rearrange projects and seek to assist marginalized communities create sustainable change, they must continue to work with locals in the development process and as part of leadership staff. Leadership for social change requires collaborative relationships that lead to collective action that is grounded in the shared values of those who work to effect positive change (Astin, 1996). Successful community development projects require leaders who are systems thinkers, change agents, innovative, servants, teacher-mentors and visionary (Marquardt, 2000). They must be able to deal with real problems, get the local community to move towards reflective inquiry, commit to action and focus on life-long learning to create sustainable community development, particularly in rural areas where marginalized populations have tended to be reactionary verses proactive about the change process.

The NGO literature informs us that leadership style plays a critical role in the success of community-based development projects and that certain leadership styles may be more effective in promoting sustained social change. Specifically, transformational leadership may be particularly effective in creating sustained community-development because transformational and/or servant leaders work to serve the people they represent. Servant leaders usually come from within the community they are attempting to assist, are focused on helping others and on helping society (Keith, 1994). Successful servant leaders have the capacity to discern the development process of community and the range of relationships that occur within it because they have experienced it first hand (Jahner, 1993). As servant leaders, they tend to be "in touch" with the needs of the community and know where the resource bases are to create sustained development.

PROJOVEM is an NGO-based education program serving seven rural communities in Sao Paulo, Brazil. While the program focuses on providing rural adolescents with managerial and administrative skills for agri-business development, the success of certain sites in relation to others appears to be tied

to the transformational leadership style of the monitors and the community driven approach to rural development taken by the program. Using a comparative case study approach, this paper uses key principles identified by the World Bank Group to examine whether transformational leadership within NGO-based organizations is more effective in creating sustainable community development. Drawing on the author's fieldwork experiences with PROJOVEM, the paper examines two sites that have successfully begun to impact the local community and compares them with a third site that is failing to meet program objectives. The extent to which each site meets the key principles of sustained community development (i.e. sustainability and social inclusion) is used as points of comparison. While similar in most characteristics, the main difference in the ability of sites to move towards community development appears to be tied to the leadership style of the monitors at each site. The World Bank community-driven criteria provides a framework for examining how aspects of transformational leadership have contributed to helping each site meet program goals.

In the past ten years, development workers have accumulated a wealth of experiences and knowledge related to social, political and economic change. However, according to O'Gorman (1998) rarely have these experiences been documented, systematised and analyzed to references for the methodological foundations for ongoing community action. This paper will provide new perspectives on how differences in leadership style may contribute to successful community development in an increasingly globalized world. It will also show how transformational leadership can empower citizens to become involved in their own community development. The information garnered from this study could further assist NGOs that work with community development by showing them the types of leadership characteristics that best serve the local population as the development and implementation of community-based projects is being carried forward.

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Paper Number: PA021369

Paper Title: Nonprofit Management Education: A Response to the 'Best Place' Debate

Author(s):

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Summary of Research

This paper examines the emergence of nonprofit management within the realm of public administration. The foundation for this relationship can be linked to three aspects: 1) as an illustration that public administration is an evolving discipline 2) the transition of the field of public administration from a focus on government to governance, and 3) the common set of values and motivations among public administrators and nonprofit managers allow for a logical marriage of the two fields. Data was gathered to illustrate the strength of the development of nonprofit management with the realm of public administration.

Description

The study of Public Administration has experienced an evolution since the founding papers written by Woodrow Wilson first appeared. This evolution has taken many shapes and presented itself in many ways. Theories have developed, reflecting the change in attitude, knowledge, and times; methods of research and empirical study have developed and become grounded in various aspects within the field; and the academic study of the field has gained validity and recognition in the world of academia. Nestled within this web of complexity is the study of Nonprofit Management (NPM). In 2001, 42 of the 92 graduate programs specifically focused on developing leaders in the field of Nonprofit Management were located within a public administration graduate program (Mirabella 2001). Other nonprofit management programs are located in social work and business schools, as stand-alone degrees, or interlaced among many departments (with an interdisciplinary focus in mind) (Mirabella 219). The high percentage (46 %) of nonprofit management programs located within a public administration department illustrate the strength and support for the future leaders of the third sector to be educated alongside other public sector leaders.

Although educating nonprofit leaders with curriculums similar to those designed for other forms of public leaders may make sense to those educated in the area of public administration, scholars are not entirely in agreement of this presumption. Roseanne M. Mirabella and Naomi Bailin Wish (2000) have coined this disagreement of which school should be the appropriate "home" for the study of nonprofit management as the "best place" debate. In their article entitled "The 'Best Place' Debate: A Comparison of Graduate Education Programs for Nonprofit Managers", the authors conduct a study using curricular elements of various nonprofit management programs to determine the best place for the nonprofit management programs.

Public policy/administration schools are often in a transition phase, some finding it difficult to incorporate nonprofit management into their curriculum. But this is more rare than likely; most schools are participating in NASPAA's (National Association of Schools of Public Affairs and Administration) efforts to incorporate a nonprofit curriculum into this discipline. In his paper on "the new public service", Paul Light (1999) found that a trend has emerged in which graduates of public administration/policy schools are seeking employment outside of the federal government, not inside. As an example he states, "At Harvard University's John F. Kennedy School of Government, less than half of the class of 1997 took jobs in government, with nearly a quarter going to the nonprofit sector. Training for the nonprofit sector is one area in which public policy schools need to redirect their focus. (Light 45)" The recent "market" demands for this area of concentration is important for public administration schools to be mindful of. As students demand more coursework in nonprofit management, schools should be ready to provide.

Research Focus:

University based nonprofit management programs date back to the early 1980's. Today, more than 90 programs exist, reflecting of growth rate of 50% every three or four years with an enrollment in the hundreds annually. Yet, central questions of the field still remain prevalent: Should NPM programs exist

at all? Should it be part of the master of business degrees, public administration degrees, or should it be a freestanding program dedicated solely to NPM? What kinds of students should be targeted and who should be teaching them? What kind of curriculum would best fit a NPM program? (O'Neill 2 1)

This research assists in answering the question of where the best place for nonprofit management should be located. This paper will trace the roots of nonprofit management as it specifically relates to public administration in support of the assertion that nonprofit management belongs under the umbrella of public administration/policy.

This paper examines the emergence of nonprofit management within the realm of public administration. The foundation for this relationship can be linked to three aspects: 1) as an illustration that public administration is not a fixed discipline, in fact, it is clearly an evolving field and nonprofit management education fits nicely into that evolution, 2) the transition of the field of public administration from a focus on government to governance requires that schools offer NPM education, and 3) the common set of values and motivations among public administrators and nonprofit managers allow for a logical marriage of the two fields.

The emergence of the nonprofit sector is documented through the evaluation of three aspects of evidence of professionalism of the field:

1. □ The growth of nonprofit management graduate programs by degree.
2. □ Documentation of the number of articles published relating to nonprofit management.
3. □ Evidence of the number of graduates of public administration schools who go on to pursue a career in nonprofit management.

Contribution to the Field:

Society drives the changes that we see in the public arena. In like manner, academia follows in a similar fashion. As society takes notice of an issue or concern, the academics surrounding the topic develops. This at times, is a smart business venture for academic institutions. As the need for educated managers, policy analysts, and government employees increased, so too did the number of public administration programs. Public administration schools need to take notice of the increased need for nonprofit managers and develop competitive programs to educate them. The data clearly indicates that this is a field that will become more highly demanded, schools of public administration would only be making a smart investment by creating and expanding their nonprofit management education programs.

Examination of the data shows that a "market" for nonprofit management education has been validated. Supply side of this market encompasses 92 schools that offer nonprofit management graduate programs. Demand is increasing annually, as is evidenced by the increasing enrollment rates in such programs. This pattern has led such authors as John Palmer Smith (2000) to assert that "the nonprofit management education market, is, in fact, demand driven (186)." The entering of prestigious universities such as Harvard, Columbia, Georgetown, Northwestern, The Johns Hopkins, and Berkeley into the field add "academic credibility, outstanding intellectual resources, and other financial and institutional resources to the entire field...[this] makes it much easier for all of us to persuade our own university colleagues of the importance and academic credibility of nonprofit management education (Smith 186)."

Although the perfect model for a nonprofit curriculum has not been agreed on, the data and inclusion of prestigious universities entering the field add support for further development of the field. As nonprofits continue to report benefits of having trained managers and academic institutions see the "market" investment possibilities grow, nonprofit management education has little to fear for its future.

Paper Number: PA021475

Paper Title: The International Census of Nongovernmental Studies Project

Author(s):

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Summary of Research

This paper will report on the first phase of a major research project that will result in a census of international university-based programs in nongovernmental studies, which includes the study of nonprofit management, nongovernmental organizations, and grassroots organizations. Utilizing an on-line questionnaire to be implemented in the spring and summer of 2002, this project will collect information on all types of nonprofit management education and training programs offered by universities, national intermediary organizations, local community-based organizations and regional or international governmental organizations.

Description

This paper will report on the first phase of a major research project, being conducted with the generous support of the W.K. Kellogg Foundation, which will result in a census of international university-based programs in nongovernmental studies, which includes the study of nonprofit management, nongovernmental organizations, and grassroots organizations. Utilizing an on-line questionnaire to be implemented in the spring and summer of 2002, this project will collect information on all types of nonprofit management education and training programs offered by universities, national intermediary organizations, local community-based organizations and regional or international governmental organizations. Unlike previous research in this area, which has focused on individual countries or geographic regions, the project will result in a database reflecting the universe of practices in the international arena. The questionnaire will be electronically distributed to scholars and practitioners in the international arena who are associated with nongovernmental education and training programs. Among those to be included in this distribution will be those individuals active in the ARNOVA and ISTR associations, individuals who have attended the Salzburg seminars, and those working with the Johns Hopkins Nonprofit Comparative Research Project.

The research project will address the following major questions: Where are nongovernmental organization education programs housed within the university and what degrees are currently being granted? What is the regional distribution of these programs? How do programs in developed countries compare to those in developing countries? Are the international programs currently in place similar to or different from those in the United States? Where are the training programs for nongovernmental organization managers located within the community? Do these training programs vary by region? What knowledge and skills are currently taught within these programs? Are these similar to the skills and knowledge needs of managers and leaders of nonprofit and nongovernmental organizations? Of grassroots organizations? What types of collaboratives exist for the delivery of these education and training programs?

Paper Number: PA021633

Paper Title: The State of Teaching Nonprofit Advocacy

Author(s):

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Summary of Research

In this paper, the authors explore the degree to which academic programs that teach nonprofit management are covering public policy-related topics in their curricular offerings. More specifically, the research will address the degree to which nonprofit management academic programs are teaching about opportunities to influence public policy as nonprofit managers?

Description

In this paper, the authors explore the degree to which academic programs that teach nonprofit management are covering public policy-related topics in their curricular offerings. More specifically, to what degree are nonprofit management academic programs teaching their students about opportunities to influence public policy as nonprofit managers.

Charity Lobbying in the Public Interest (CLPI) launched its Teaching Nonprofit Advocacy program in 1998. The program is driven by the belief that the nature of the nonprofit/government relationship affects the outcomes of policy decisions that have impact on the causes and communities nonprofits serve. CLPI believes that nonprofit leaders must be prepared to build, shape and sustain strategic relationships with policymakers to meet their mission related goals. To this end, CLPI encourages academic programs that educate current and future nonprofit leaders to include public policy advocacy, lobbying and government relations as important components of their curricula.

Using research by Mirabella and Wish as a starting point, the authors look at the degree to which nonprofit management academic programs are teaching public policy-related courses. The Mirabella/Wish master list of institutions offering nonprofit management courses and the accompanying list of courses provide the baseline for this component. However, the authors seek to delve deeper and answer the following questions:

- Of the public policy-related courses and/or modules that are taught in nonprofit management academic programs, which courses teach students about tools and strategies to influence public policy?
- Of the nonprofit management academic programs that teach public policy-related topics, how many programs teach "stand alone" courses and how many teach the topic as a component of a larger course?
- If public policy-related topics are taught as part of a larger course, which course subjects are more likely to include topics on public policy and advocacy?
- Where public policy-related topics are taught as stand alone courses, are such courses required and part of the core curriculum, or are the courses part of the elective offerings of a program?

This information is collected through: 1) a CLPI survey of 130 institutions of higher education that teach nonprofit management; 2) the extensive syllabus collections of both CLPI and the University of San Francisco's Institute for Nonprofit Organization Management (INOM); and 3) telephone surveys with CLPI survey recipients.

The paper will provide a deeper look at a sub-topic of the teaching of nonprofit management that is seldom the subject of research. It will compliment literature on the teaching of nonprofit management

such as:

Wish, Naomi and Roseanne Mirabella, "Nonprofit Management in Education: Current Offerings and Practices in University-Based Programs in the United States," *Inside ISTR*, Vol. 6, No. 1, Winter 1998.

Wish, Naomi B. and Roseanne M. Mirabella. (1998) "Curricular Variations in Nonprofit Management Graduate Programs," *Research Report, Nonprofit Management and Leadership*, Vol. 9, No. 1, Fall.

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Michael O'Neill & Dennis R. Young, eds., *Educating Managers of Nonprofit Organizations*, Westport, CT: Praeger, 1988.

Paper Number: PA021232

Paper Title: A Longitudinal Study of Critical Events in the Successful Leadership of Nonprofit Organizations

Author(s):

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Summary of Research

A strand of research by the authors has examined the unique nature of successful nonprofit executive leadership. The research supports the assertion that the distinctive character of nonprofit organizations creates special leadership challenges. This new research continues this line of research and will describe the findings of a longitudinal study of the critical leadership issues successfully handled by the chief executive officer. Implications will be discussed for practice, curriculum, and research.

Description

A LONGITUDINAL STUDY OF CRITICAL EVENTS
IN THE SUCCESSFUL LEADERSHIP OF NONPROFIT ORGANIZATIONS

THE PROBLEM OR ISSUE TO BE ADDRESSED

Nonprofit organizations are distinctive forms of organization and the executive leadership of nonprofit organizations is substantially different from executive leadership in government and business. The distinctive character of nonprofit organizations creates special challenges for the executive leadership of nonprofit organizations. A strand of research by the authors that has examined the unique nature of successful nonprofit executive leadership supports this assertion (Author's Reference Deleted). The research to be reported continues this line of research and will describe the findings of a longitudinal study of the critical leadership issues successfully handled by the chief executive officer. These critical issues are examples of the distinctly characteristic challenges dealt with by the chief executive of nonprofit organizations.

Over a decade ago, we identified a set of critical issues in a study of nonprofit chief executives. The original research will be replicated in this study. The differences in the two sets of findings will mark changes, if any, in what nonprofit executives deem as critical issues, successfully handled. The findings will be examined in three ways:

- (1) □ The general implications for the executive leadership of nonprofit organization. Research questions: Do nonprofit executives identify as critical the same kind of events as they did a decade ago? What are the implications for practice?
- (2) □ Changes in curriculum in graduate programs teaching nonprofit organization leadership. Research question: Does the curriculum of graduate programs teaching nonprofit executive leadership reflect the changes in what nonprofit executive deem as critical? We will review the results of a recent survey of curriculum in nonprofit leadership and management to determine the extent extant curricula reflect changes in the critical issues.
- (3) □ Correlated topical issues reported in the literature of nonprofit organizations. Research question: Are researchers studying what nonprofit executives deem as critical issues? We will review a decade of research reported in *Nonprofit Leadership and Leadership: A Quarterly Journal* to determine the extent to which selected topics of research reflect changes in what nonprofit executives deem to be the critical issues.

THE TOPIC'S RELATION TO THE STATE OF KNOWLEDGE IN THE FIELD (INCLUDING RELEVANT LITERATURE)

Studies by the authors, reported over a decade ago, of chief executives of nonprofit organizations provided initial evidence about the special nature of leadership in nonprofit organizations and the critical issues facing nonprofit executive managers. Findings showed that adapting programs to shifts in funding patterns was the major challenge experienced as critical by the executives. Secondary issues were fund-

raising activities and board-executive relations. (Author's Reference Deleted). These findings served as the preliminary arguments that became the bases for the authors' earliest assertions about the unique nature of nonprofit organizations as distinctive forms of organization and especially the role of the chief executive (Author's Reference Deleted). Extensions of this argument and support for the politically framed nonprofit executive were reported later (Author's Reference Deleted). Most of these arguments are summarized in (Author's Reference Deleted). Resource dependency theory (Pfeffer and Salancik, 1978) became the principle orienting perspective for these findings and our discussions raised a number of important questions about the different degrees, kinds, and concentrations of dependency.

THE APPROACH TO BE TAKEN (INCLUDING DATA SOURCES)

The general implications for the leadership and management of nonprofit organization.

The organizations in this and the original study are 501(c)(3) tax-exempt, organizations recognized by the I.R.S. as tax deductible. All are publicly supported charities. Neither hospitals nor colleges were included in the original study nor will they be in the follow-up. Most are typical United-Way funded human services organizations. Forty-five organizations comprised the initial study and thirty-four, the follow-up. All are drawn from the same major metropolitan area. In both the original and follow-up studies, executives were contacted to participate in critical incident interviews. In the original study we used these interviews to collect raw data for an assessment of leadership skills. In the follow-up study, the executives were also chosen for critical incident interviews and to learn more about nonprofit organizational effectiveness. In both instances, executives were asked to discuss a critical issue that led to a successful outcome in their organizations.

In order to analyze the events, we will group events essentially the same way in both studies. In the original study we read the transcribed events and developed an inductive set of categories. Our intent was to develop as few categories as needed in order to make the similarities among events comprehensible and as many as we needed in order to reflect the reality of organizational life. In our original study we agreed on a single set of categories and assigned each event to a category. We expect to use mostly the same set of categories in our second study and once again independently assign events to categories. As in our first study, in which some events were complex, we expect to assign a few events to both primary and secondary categories. In the original study we found very few differences in our assignments. In the few events in which we disagreed, one of us assigned as the primary category what the other assigned as secondary. We reviewed our differences and agreed to a single primary category for each critical event. We expect to follow the same protocol in the follow-up.

Correlated topical issues reported in the literature of nonprofit organizations.

Nonprofit Management and Leadership (NML) is a major journal addressing concerns of nonprofit executive leaders. It has presented research about nonprofits organizations for over a decade. We believe the topics reported by journal are reflective of what scholars believe are the relevant critical issues facing nonprofit organizations. We will review all articles published by NML over the past decade and count and classify articles by the same categories used to sort critical incidents to determine what, if any shifts, there are in what researchers deem as important issues faced by nonprofit executive management and leadership.

Changes in curriculum in graduate programs teaching nonprofit organization leadership and leadership.

The National Association of Schools of Public Affairs and Administration (NASPAA) is an institutional membership organization that exists to promote excellence in public service education. We will rely upon the results of the "Guidelines for Graduate Professional Education in Nonprofit Organizations, Management and Leadership" developed by NASPAA derived from the NASPAA 2000 Survey, "Guidelines for Graduate Professional Education in Nonprofit Organizations, Leadership." Other curriculum discussions will be used (e.g., Cohen and Abbott, 2000).

THE CONTRIBUTION TO THE FIELD THIS WORK WILL MAKE

There is growing literature about the unique challenges and special circumstances in the leadership of nonprofit organizations. The past few years have witnessed systematic empirical investigation about nonprofit organizations.

This was hardly the case when we began our original study.

This study will contribute to building this literature. Specifically, we hope to learn if the challenges and patterns of success remained constant over the past decade or if there are shifts in what executives deem as critical events, successfully handled. If we find changes, we believe they may have significant implications for: (1) the effective practice of nonprofit executive leadership; (2) what graduate programs in nonprofits organization and leadership teach; (3) the topics chosen for study by scholars of nonprofit organization executive leadership. At the theoretical level, we expect to continue to use resource dependency theory (Pfeffer and Salancik, 1978) as the principle orienting perspective and extend discussion about the different degrees, kinds, concentrations, and changes in dependency.

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Paper Number: PA021515

Paper Title: How Chief Executives Use the "Founding Story" as a Heuristic in Sensemaking

Author(s):

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Summary of Research

THIS PAPER REPORTS ON A RESEARCH STUDY INTO THE FOUNDING STORIES OF VOLUNTARY ORGANISATIONS AND EXPLORES HOW CHIEF EXECUTIVES 'USE' THE FOUNDING STORIES AS A REFERENCE POINT IN THE INTERPRETATION OF CURRENT EXPERIENCE. BASED ON INTERVIEWS WITH 30 CHIEF EXECUTIVES IN THE UK AND INDIA IT CONCLUDES THAT THE STORIES PROVIDE INSPIRATION, GUIDANCE AND CONSOLATION. THEY PLAY A CRITICAL ROLE IN LEADERSHIP AS CONCEIVED AS THE MANAGEMENT OF MEANING.

Description

ABSTRACT

How Chief Executives Use The Voluntary Organisation's 'Founding Story' as a Heuristic in Sensemaking

This paper reports on a research study into the founding stories of voluntary organisations and explores how chief executives 'use' the founding stories as a heuristic in sensemaking; as a reference point in the construction of an interpretation of current experience.

I interviewed 30 voluntary sector chief executives; 15 in the UK and 15 in India. This research grew out of my MA study into the ways in which chief executives use metaphors to conceptualise creativity within an organisational setting (Schwabenland, 1996). I discovered that the dominant, or generative, metaphors that underpinned the founding stories, in a small sample of four chief executives in the UK, were also the dominant metaphors in the interviews overall. This suggested that the founding stories might be important to chief executives in terms of the ways in which they conceptualise reality in their organisations. For this study I wanted to explore this significance further to see whether the influence of the founding story extended beyond simply representing an 'icon' or metaphor of creativity within the organisation, or whether the founding stories function as 'extended metaphors (Pondy, 1979), having a broader, mythic significance not only for the organisation as a whole, but also for the chief executive.

To discover whether the founding story influenced the ways in which chief executives conceptualised aspects of their leadership role other than creativity, I asked them questions about several areas of organisational experience which could be defined as 'boundary situations' such as crises or critical events within the organisation's history, strategy, and decisions about what activities the organisation should or should not undertake. My reason for focusing on boundary situations was influenced by Ricoeur's suggestion that in such situations 'a society is compelled to return to the very roots of its identity, the mythical nucleus which ultimately grounds and determines it' (Ricoeur, 1991 p484). Therefore if the founding stories continue to play a mythic function this influence is most likely to be detectable in the way they think about such boundary situations. Smircich and Morgan (1995) suggested that leaders are required to 'generate a point of reference against which a feeling of organisation and direction can emerge' and this is particularly important when the organisation is facing decisions that are critical to its development and identity.

How chief executives use founding stories

E.Mayo: Oh a huge amount [of the founding story] is relevant. One is that it still gives us energy. The original vision of working with economics as this kind of battle ground for social and environmental change is still completely valid, so that's one. The second is that there are lines of thinking and traditions of thinking which actually predate 1984, 1986, but they were kind of captured and represented in 1984 which are still something of the fount, the source, that kind of underline the water tank, if you like, that we

kind of draw on. (p9)

My analysis suggests that chief executives 'use' these stories as a source of inspiration, guidance and consolation. They use them as a source of inspiration through the depiction of heroic characters and in locating the organisation in the fight between good and evil. Some chief executives conceptualise their organisation's mission within this metaphor of warfare and their inspiration is linked to the need to 'fight the good fight'. These chief executives seem to derive inspiration from the founding story as an energising battle cry. Examples show that the founding stories can 'rekindle' the anger and passion of the founders and through the implicit suggestion that the organisation is involved in a battle against evil which is not yet won. Chief executives use the stories as a source of guidance, representing the 'sacred texts' of the organisation. Specifically, they invoke the founding stories both to re-focus on the founding impulse and conversely, to legitimise change and diversification. They use them as a source of consolation by invoking the miraculous, to make sense of tragedy and to mediate despair and to create hope through defining, or 'naming' success.

Chief executives conceptualise their role as storytelling and use stories to reinforce their position. They make use of the founding stories to create their own interpretations of organisational reality and to communicate those interpretations to others. Smircich and Morgan (1995) refer to the management of meaning in terms of the symbiotic relationship between the consent of the workers to accept the definition of reality that is proposed by the leaders and the obligations of the leaders to create those interpretations – to construct a plausible story that will 'co-ordinate flows of things and people towards collective action' (Czarniawska-Joerges and Wolff, 1995). It is likely that the appeal to the authority of the founding vision is an important element in winning that consent.

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Paper Number: PA021524

Paper Title: The 'turnaround' process in nonprofit contexts: four cases and some theory.

Author(s):

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Summary of Research

The 'turnaround' of failing organizations is always a challenge, not least because organizations can become locked into a configuration of 'permanent failure'. Existing theory is reviewed and the main debates noted (eg, between rational choice and cognitive-cultural approaches). However, this work relies heavily on private sector experience. This paper examines four cases of attempted or actual nonprofit turnaround to identify where this theory is relevant and where it appears inadequate.

Description

The issue.

Low performance can be a particular problem for nonprofits because the sorts of error-correction processes that exist in other settings may not operate, or may do so weakly. For example, failing private firms that are badly run are likely to be gobbled up by others or forced out of business. These processes are imperfect and erratic, but in general failure is punished, often quite promptly and severely. As a result, in many contexts cycles of relative decline followed by renewal are commonly observed among companies and other organizations. By contrast, in some nonprofit contexts, the signals concerning low performance may be much less clear, and the difficulties in sustaining a coalition for change much greater. Indeed, organizations can become 'locked in' with low performance becoming accepted as normal or inevitable (Meyer and Zucker 1989). Hence it is important to understand what is involved - in managerial, leadership and governance terms - in turning around failing nonprofits.

Existing knowledge.

The paper starts by clarifying the concept of turnaround - distinguishing it from related terms (strategic change and transformational leadership, 'sharpbending', 'phoenix' recovery, etc). It then draws on the relevant management literature (eg, Slatter 1984; McKiernan, Grinyer et al. 1988; Paton 1989) to develop a model of decline in which one or more sources of failure reduce the resources available for change and also the openness to change. As the situation deteriorates various vicious circles take hold, accentuating the problems (loss of good staff, internal conflict, increase in self-interested behaviour, etc). The remedies for tackling such situations depend heavily on the situation and what has gone wrong beforehand. Hence generic recipes are not to be expected. Nevertheless, various models of the change/renewal process are offered, and some features of successful management and leadership in these contexts seem to recur, eg:

- (i) Reorganizations that combine 'old blood' (especially in operational areas) with 'new blood' (in finance and marketing).
- (ii) Combining 'negative' approaches (cutting back, closing cherished projects, selling off) with 'positive' approaches (investment, risk-taking, enthusiasm for new opportunities).
- (iii) Centralising financial controls while decentralising most else - to preserve resources while maximising involvement.
- (iv) Displaying a 'bias for action' with a focus on implementation - to end prevarication and demonstrate that change is happening

The literature emphasises the organizational politics of building and sustaining a coalition for change that also makes good enough sense in business terms. The main differences in the literature are between rational choice theorists who emphasise interests, and cognitive-cultural theorists who emphasise shared ideas and values (eg, the need to break existing paradigms, the importance of symbolic actions). Although some of this literature draws on nonprofit cases (eg, Meyer and Zucker 1989), it is mainly derived from the study of corporate recovery. Hence the theoretical side of the research coin is to appraise the adequacy of this theory for nonprofit contexts, and hopefully to suggest where and how it needs to be elaborated.

Research methods.

The practical and methodological difficulties in studying turnaround are formidable. However, as a preliminary study the work to be reported has modest ambitions - the purpose is to develop a framework for a more substantial piece of research. To this end, it is pragmatically acceptable to draw heavily on retrospective accounts sometimes offered by key figures in the turnaround, while noting the limitations of this approach. Four cases of turnaround in (deliberately) very different contexts were identified and reports on each were prepared as follows:

1. A hospital threatened with closure. Report prepared by the author on basis of an extended interview with the chief executive who lead the (successful) turnaround, supported by some analysis of documents.
2. A school placed in 'special measures' (ie threatened with closure). Report prepared by an academic who was also a member of the governing body for some of the period. Limited success in raising performance.
3. A large disability charity facing financial difficulties and many performance issues. Turnaround largely achieved, though major challenges remain. Report prepared by the chief executive and backed with internal data.
4. A 'sink' housing estate. Report by an academic researcher who had monitored and been involved in the (not very successful) efforts of the tenants association and local housing department to revive it over a number of years.

Contribution

The contribution of the paper will be to suggest ways in which the turnaround process in nonprofits is both alike, and different from, the turnaround process in corporate contexts. The analysis of these reports is just getting underway, but it is already clear first, that some aspects of existing theory are highly relevant and clearly illustrated (eg, the importance of the symbolic dimension). Equally, that important issues concerning, eg, the range of stakeholders that may be involved in nonprofit contexts, and the greater social and institutional embeddedness of some nonprofits (compared to companies), are poorly treated in existing treatments of turnaround management. The paper will end with a discussion of the priorities and possibilities for the design of a future research study on this issue.

Key words:

Turnaround, low performance, failure, recovery.

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Paper Number: PA021280

Paper Title: Rising to the Challenge or Running for the Door? The role of governing bodies in dealing with organizational crises.

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Summary of Research

The paper is exploratory. It aims to develop a theoretical framework for understanding how non-profit boards react to crises. The importance of crises in stimulating board change has been an important theme in the literature on for-profit boards, but has received less attention in the study of non-profits. The paper reviews the existing literature on boards and crises. It critically appraises the more extensive literature on for-profit boards and considers its relevance to non-profit organizations. It also draws on existing case studies and the authors' own experiences of boards to generate a number of propositions to guide further research.

Description

Keywords: governance, boards, organizational crises, power, change

'Directors are like firemen. They sit around doing relatively little until there is a fire alarm and then they spring into action' (company director quoted in Lorsch and MacIver, 1989: 97).

An important theme in the literature on corporate (for profit) boards is the importance of situational factors in influencing board power. Much of the literature suggests that boards have relatively little influence during 'normal' times, when they tend to play a reactive role. It is suggested that it is only during organizational crises that boards are 'forced' to step in and exercise real power (Mace, 1971; Lorsch and MacIver, 1989; Zald, 1969). The importance of board crises in stimulating board change has not been such an important theme in the literature on non-profit boards. It figures most prominently in Wood's (1992) life-cycle model of non-profit boards. She suggests that after an initial 'collective' phase boards tend to oscillate between a 'CEO dominant' pattern and, precipitated by some crisis, a 'board dominant or supermanaging' phase where the board effectively runs the organisation, followed by a gradual drift back to CEO dominance, until the next crisis.

However, relatively little is known about the dynamics of non-profit boards during crises, which is the main focus of this paper. How do boards become aware of crises? Are all types of crises the same? How are boards able to mobilize their formal powers? What are the constraints on boards taking action? Do the same issues arise as in commercial organizations or do nonprofit organizational crises take different forms or present in subtly different ways? What are the circumstances in which boards decide to take action and shift from an advisory role to a decisional one? What is the process through which boards and trustees go in order to become effective change agents? What can we learn from boards which fail to address crises?

The paper is exploratory. It aims to develop a theoretical framework for trying to understand how non-profit boards react to crises. The paper will review the existing literature on boards and crises. In particular it will critically appraise the more extensive literature on for-profit boards and consider its relevance to non-profit organizations. It will also draw on existing case studies (e.g. Cornforth and Edwards, 1998 and cases investigated by the English Charity Commission) and the authors' own experiences of boards to generate a number of propositions to guide further research.

In their work on business boards Lorsch and MacIver (1989) suggest that the nature of the crisis will affect how boards respond. They distinguish between four kinds of crises according to whether they are – sudden or gradual, and whether their origins are internal or external to the organization. These may include unfriendly takeovers or mergers, lawsuits, loss of CEO, industry decline, rise of competition, failure of the CEO and top management, dissension among managers. Different sorts of crises will pose

different kinds of challenges for boards. Lorsch and MacIver suggest that in order for boards to take on a more proactive role they have to break established norms that they do not openly criticize the CEO and expose failings and secondly that they do not socialize with each other. They also suggest that how boards react will be constrained by the demands this makes on board members in terms of time commitment, changes in role, their appreciation of accountability issues, the way in which experts are used and the state of their relationship with the CEO. Clearly whether the crisis involves board and CEO acting together or involves the board taking power from the CEO may make the board more likely to act or not.

The paper examines the relevance of the Lorsch and MacIver framework for non-profit organizations. It argues that there are important similarities and differences with for-profits, and suggests certain areas where the framework needs to be elaborated and developed. For example it suggests that the nature of crises varies somewhat in non-profit organizations, and the clearer separation of board members and managers may influence how non-profit boards react. The paper also argues that 'crises' are not objective facts, but are socially constructed, which focuses greater attention on the processes by which a shared understanding of crises develops, and how actors may try to construct 'crises' to mobilize support for action.

As with private sector boards it is a big step for nonprofit boards to move from a relatively uninvolved advisory role to that of active decision-taker. The paper argues that boards have to go through certain stages in order to mobilize their otherwise latent power. Firstly there has to be an acknowledgement that a problem exists. This in itself can be a particular problem in many non-profit boards where indicators of performance are often more ambiguous than in businesses. In many small non-profits trustees may never have been a member of any other trustee body and therefore lack experience of comparators of performance. For example in one case study we undertook of a women's organization there was little knowledge of other organizations although it was clear that some members of staff felt that the trustees ought to be asking more questions about the organization's performance. This lack of knowledge often compounds the problem even when it is recognized, as the diagnosis may be of superficial 'presenting problems' rather than seeking to address the underlying issues. Some boards may get caught in vicious circles of crises as they seek surface solutions and fail to resolve the underlying issues.

Once the problem is acknowledged the board has to decide whether it wishes to tackle it. Lorsch and MacIver see as critical, the willingness of one member to put themselves into a leadership position. This problem may be particularly acute in the commercial world in the USA where the roles of board chair and CEO are often combined. This suggests that non-profits might be more likely to tackle problems as the legal and regulatory framework forbids trustees being beneficiaries of the organization in the way that company directors are. However, experience suggests that it is also very hard for a lone critic to mobilize a nonprofit board to take action and that the building of social contacts and trust between board members is an essential part of the process. The ability of board members to discuss issues outside board meetings and free from management appear to be crucial factors. In one case study a key factor in mobilizing the board was the introduction of telephone conferencing to overcome distance factors inhibiting more frequent board meetings which had often been ill-attended.

As with private sector boards the relationship between the CEO and the board may also constrain the board's ability to mobilize support and act. The director of a one case study organization clearly sought to avoid her board interacting with each other outside meetings, which she appeared to see as an inherent potential to challenge her authority. Many non-profit CEO's may prefer an 'approving board' (Murray et al, 1992) as it can lead to a quiet life.

Time is also a critical issue in the active phase where boards have to get involved in resolving problems. In a local development agency, there were 6 meetings over a period of 6 weeks as well as additional contacts between the office-bearers by telephone and e-mail to formulate a solution to the funding cuts and the general dissension in the organization. This level of commitment may cause particular problems in organizations where board involvement is voluntary, and various board members may resign from the organization at this stage being unwilling to give their time to conflict resolution.

Another critical phase for non-profit boards is often when the organization is on the road to recovery. It appears to be at this stage that some trustees are inclined to feel that they have made their contribution and take the opportunity to resign. This can have the effect of removing support from staff just when there is still much work on organizational issues to be undertaken. New trustees may not have the same sense of commitment to the organization or a sense of what it has gone through and the process of board development will have to start again.

The paper will contribute to understanding of the complex inter-play between boards, their skill set, CEOs, the organization, its context and the particular situations boards face. In particular the paper will help to develop new theory about how non-profit boards handle different types of crises and how this is likely to impact on the boards' power and role. The paper will help to open this important but under-developed area of study by highlighting a range of propositions to guide further research.

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Paper Number: PA021409

Paper Title: Help Wanted: Turnover and Vacancy in Nonprofits

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Summary of Research

The research quantifies the position vacancy rate at San Francisco Bay Area nonprofit organizations. Through a survey of 425 nonprofit executive directors, it determines which types of staff are leaving, why, and which sector exiting staff choose next. Finally, it explores the responses to the challenge of staff turnover initiated by the 425 organizations--from increasing salaries and benefits, to spending more time and money on training for supervisors.

Description

The Problem to Be Addressed

Help Wanted: Turnover and Vacancy in Nonprofits is concerned with position vacancy at nonprofit organizations. The research questions included:

What percentage of nonprofit paid positions are typically vacant? How long do they remain vacant?

Is position vacancy having a serious impact on nonprofit performance?

Which staff are leaving nonprofits (managers/non-managers, program/administrative staff)?

When nonprofit staff leave are they moving on to for-profit, nonprofit, or government jobs?

How are nonprofit executives responding to the challenge of retaining staff?

Relation to State of Knowledge in the Field

As CompassPoint is a nationally recognized nonprofit technical assistance organization, the impetus for this research (and all of our research) is the experiences of the hundreds of nonprofit organizations we work with each year. Our research is designed to be practical and immediately applicable to the efforts of people working and volunteering in the nonprofit sector.

For this paper we drew on Paul Light's recent works: *The New Public Service* and *Making Nonprofits Work*. In particular, his finding that people interested in public service now move freely across the sectors in search of rewarding work was a basis on which we challenged the narrow perception of all turnover as bad and preventable through better management. By the same token, his research confirms that the nonprofit sector does have a special appeal for the general workforce and we were interested to see how executives capitalized on this in hiring and retaining staff.

We also looked at current for-profit notions of staff turnover and retention. Peter Capelli's piece, *A Market-driven Approach to Retaining Talent* (*Harvard Business Review*, Jan.-Feb., 2000), argues that organizations cannot prevent turnover; that it's finally the market more than the characteristics of a given organization that determine when and where employees move. If public servants are in fact shopping across sectors for the right place to make their contribution as Light suggests, then Capelli's wake-up call is appropriate for the nonprofit sector too. The 10+ million employees of the U.S. nonprofit sector are not proprietary to the sector, but part of the larger market. As employers, nonprofits have to consider how they can most strategically retain people with the talent essential to the success of their organizations.

Research Approach

A 16-question survey developed by the researcher was distributed by U.S. mail to 971 Bay Area nonprofit executive directors. There were a total of 425 responses to the survey; a 44% response rate. The survey data were analyzed using SPSS statistical software.

In addition, a total of 23 executives attended two focus groups held in Berkeley and San Jose, California. The focus groups were taped and the researcher used unattributed excerpts from the participant comments throughout the paper.

Contribution to the Field

Staff turnover is a major concern of nonprofit executives and boards of directors. There is a significant body of both management and academic literature about turnover, especially in the childcare and healthcare arenas. This paper broadens the discussion in the following ways:

The paper quantifies the length of position vacancy at nonprofits of all types and its impact on remaining staff. By making this important distinction between turnover (someone leaving an organization) and vacancy (the period of time before a replacement is found), the paper raises new issues for nonprofit managers.

The paper quantifies the responses of nonprofit executives to the challenges of turnover and vacancy. The extent to which nonprofits have been compelled to raise salaries beyond standard raises, to enhance employee benefit packages, or spend time and money on improving the quality of staff supervision is critical information for anyone working in, funding, or consulting to the sector.

The research indicates that non-program staff (development, finance, and administrative staff) are disproportionately leaving organizations. This confirms our anecdotal evidence and has implications for the hiring, development, and supervision of non-program staff.

The research uncovers the programmatic impact of position vacancy at nonprofits. Executives reported holding on to under-performing staff for fear of not finding adequate replacements, as well as canceling or postponing programs because of extended position vacancy.

Paper Number: PA021439

Paper Title: Employee Satisfaction and Mission Attachment as Factors in Retention

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Summary of Research

This study uses survey research of one organization's employees to investigate the association between employee attachment to the organization's mission, their satisfaction with the work environment, and their expressed intentions to stay with organization. Results indicate that those who felt happy with their work overall and facets of it were more likely to indicate that they believed in the mission of the organization and that their work contributed to the fulfillment of that mission. Similarly, they were more inclined to say that they would stay with the organization for a career. This was most salient for younger part-time employees.

Description

□The core of every nonprofit organization is its mission. The mission is more than a statement or a symbol; it is a tool that provides a clear compelling purpose that is disseminated both internally and externally. A mission statement defines who an organization is, what their values are, who they serve, what they do and envisions the future in a simple clear and concise manner (Smith, Heady, Carson, Carson, 2001). Often it is the mission that attracts clients, donors, funders, employees and volunteers to an organization (Knauff, Berger, & Gray, 1991). The mission statement is touted as a fundamental management tool, because several aspects of nonprofit organizations force the mission to front and central in decision-making (Drucker, 1990).

Using a case study of one organization's employees, this research looks at employee attachment to the organization's mission, their satisfaction with the work environment and their expressed intentions to stay with organization. The organization was a youth and recreation service nonprofit organization. A review of literature identifies several factors as fundamental to employee satisfaction and retention, but the role of the mission is unique to nonprofits and guides the focus of this research.

Literature Review

□Several factors can be identified as partial explanations of why employees stay or leave an organization. The process is a complex mix of individual, organizational, and environmental factors that individual's evaluate in an attempt to determine whether to remain with their current organization or secure a new position. Environmental factors include the type and variety of perceived opportunities available, and the ability to locate and assess these opportunities (seeking behaviors). Organizational factors include levels of satisfaction, organizational fit, and working environment. Individual factors include career and life goals and objectives, personal and social constraints or opportunities. There has been a tremendous amount of work investigating these factors and how they work to explain expressed intentions and actual turnover behaviors (see for example Maertz & Compton, 1998; and Hom & Griffeth, 1995). The two most frequently tested attitudes have been job satisfaction and commitment. Research suggests that they have a consistent and negative association to expressed intentions to stay, which is also identified as a precursor to employee turnover.

□Satisfaction is consistently shown to influence expressed intentions to remain, job seeking behaviors and actual job turnover. Satisfaction can be investigated as either an overall construct that seeks employee impressions of the entire work experience or as facets of the work experience. Components of the job satisfaction include attitudes toward compensation, coworkers, and one's roles and tasks. Samantrai (1992) investigated factors related to decisions to leave a job of social workers and found that poor relationship with the direct supervisor and inflexibility in their current job distinguished those who stayed and those who left. Poulin and Walter (1992) found that levels of job satisfaction were related to employee intentions to stay. They investigated organizational factors such as job autonomy, satisfaction with compensation, supervisor support, co-worker, and organizational support and overall satisfaction.

They found that levels of overall satisfaction were negatively associated with retention intentions.

□ Another concept that has been investigated to explain employee turnover is person-environment fit. Organizational-fit is perhaps the most significant aspect of fit to consider in reference to expressed intentions to stay and it includes concepts of culture and values congruence and is expressed as the employees perceived compatibility or comfort with the organization (Mitchell, Holtom, Lee, Sablinski, & Erez, 2001). Several studies have documented the influence of fit on actual turnover and turnover intentions. For example, O'Reilly, Chatman, and Caldwell, (1991) investigated a fit between organizational culture and employee attitudes and behaviors. They found that fit predicts satisfaction, commitment, and actual turnover behavior. Werbel and Gilliland (1999), provide a review of the literature investigating person-environment fit and suggest that value congruence was related to employee attraction and turnover behavior.

Hypotheses

□ Based upon previous literature it is anticipated that an individual's perceived attachment and congruence with the organization's mission will be associated to their level of job satisfaction. Hypotheses 1 states: mission attachment is positively associated to job satisfaction. Similarly, both satisfaction and mission should be positively associated with expressed intentions to stay with the organization. Hypotheses 2 states: satisfaction and mission attachment are associated to intentions to stay with the organization. We would expect, however, that part-time employees will express lower levels of commitment to the organization. Hypothesis 3 states full-time employees will express stronger intentions to stay with the organization when compared to part-time employees. Finally, we would expect satisfaction and mission attachment to account for expressed intentions to stay with the organizations, however, based upon the context of a mission salient nonprofit organization we would expect mission attachment to account for variance above and beyond demographic and satisfaction variables. Hypothesis 4 states: Mission attachment will explain intentions to stay with the organization above and beyond aspects of satisfaction.

Methods & Measures

An anonymous survey was distributed to all 991 employees of a nonprofit youth and recreation services organization. A total of 304 completed surveys were returned (31.6% response rate). 285 individuals completed the single dependent variable question about career intentions. A proprietary survey instrument of the organization was used to assess employee attitudes. Facets of satisfaction investigated included attitudes toward management (9 questions), direct supervisor (5 questions), teamwork orientation (5 questions), interpersonal climate (8 questions), compensation (4 questions), training/development opportunities (6 questions), and overall impressions of their work (4 questions). Mission attachment was assessed through four questions that asked employees about their support of the organization's mission (alpha .76). Career intentions were assessed through a single item that asked employees about their intentions to stay with the organization for a career.

Results

Correlation analysis was conducted to explore the association between demographic variables (i.e., age, gender, position), satisfaction, mission attachment, and intentions to stay. Both age (younger) and position (part-time) revealed a negative association to intentions to stay. All facets of satisfaction were positively correlated with each other, mission attachment and intentions to stay, which supports hypothesis one and two.

On average employees indicate that they are not likely to maintain a career at this organization (mean = 2.37, sd=.90). Part-time employees are significantly less likely to indicate an intention to stay with the organization (mean =2.60, sd=.83), while full-time staff are more likely to indicate that they intend to make a career with the organization (mean=2.04, sd=.86; $t=5.19$, $df=259$, $p <.001$). This analysis supports hypothesis three, which states that full-time employees will express stronger intentions to stay.

To test hypothesis four, a stepwise regression analysis was conducted to determine the extent to which demographic variables, facets of satisfaction, and mission attachment accounted for variance in intentions to stay with the organization. Analysis was conducted for all employees together and then a separate analysis was conducted for full-time and part-time employees. Age and position both account for a significant amount of variance, which suggests that, older, full-time employees are more likely to indicate their intention to stay. Overall satisfaction accounts for 25% of the variance in expressed

intentions to stay, and satisfaction with pay accounts for another 4%. Once all the satisfaction variables have been entered, the employee's commitment to the mission accounts for about 1% of the variance in intentions to stay. This pattern holds for part-time employees, where older employees are more likely to indicate intentions to stay, but overall satisfaction, pay satisfaction, and mission are considerations in such a decision. For full-time employees, it is overall satisfaction and pay satisfaction that account for variance in career intentions. This analysis support hypothesis four and suggests that mission attachment is more salient for part-time employees as related to intentions to stay.

Discussion

□ Satisfaction and mission attachment were both positively associated with each other and intentions to stay with the organization. Those who felt happy with their work overall and facets of it were more likely to indicate that they believed in the mission of the organization and that their worked contributed to the fulfillment of that mission. Similarly, they were more inclined to say that they would stay with the organization for a career. Of particular interest is that pay satisfaction was of more importance to all employees than their attachment to the mission. Within this organization there was a fairly consistent perception that they were underpaid, and clearly that sentiment coincides with attitudes about staying with the organization. The importance of overall satisfaction and pay satisfaction is further revealed when considering only responses from full-time employees, such that no other aspect of satisfaction or mission attachment exhibited any potential to explain career intentions. Mission attachment appears to be a valid consideration for younger part-time employees, but the intrinsic motivations run thin as full-time employees earn salaries that appear noncompetitive to other organizations. Implications for further research and practitioners will be discussed.

Paper Number: PA021499

Paper Title: Fluid Participation in Nonprofit Organizations: Why Does It Happen?

Author(s):

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Summary of Research

Although the fluid pattern of citizen participation in the activities and decision-making processes of nonprofit organizations is an well-observed phenomenon (Guo, 2000; Knoke, 1990), our knowledge on what factors cause fluid participation is limited and highly fragmented. In this proposed study, I attempt to explore the reasons behind fluid participation in nonprofit organizations. Through an extensive review of the relevant literature, I identify a number of factors that cause fluid participation. I then incorporate these factors into an integrated framework for the understanding of fluid participation in nonprofit organizations.

Description

Fluid pattern of citizen participation in the activities and decision-making processes of nonprofit organizations is an well-observed phenomenon (Guo, 2000; Knoke, 1990). Knoke's (1990) national association study found that, on the whole, internal participation are averaged closer to "rarely" on a four-point scale ranging from "never" to "regularly"; most association members were not active on the set of internal issues nominated by their leaders. Guo (2000) identified a number of indicators of fluid participation in nonprofit organizations, which include the attrition rate of organizational participants, the rate of inactive participation, the rate of multiple-positions held by a given participant, the multiple roles of a given participant, the number of participants who are not officially belonging to an organization, and the attendance of board and staff meetings.

Despite the efforts in understanding the phenomenon of fluid participation in nonprofit organizations, our knowledge on what factors cause fluid participation is still limited and highly fragmented. In this proposed study, I attempt to explore the reasons behind fluid participation in nonprofit organizations. Through an extensive review of the relevant literature, I identify seven broad groups of factors that cause fluid participation: (1) Initial incentives that motivate individuals to participate (i.e., self-efficacy, economic self-interest, psychological dimensions, group dynamics, etc.; Perkins et al., 1996). (2) Costs for participation (i.e., time, physical effort, psychic energy, and money; Cooper, 1979, 1983). (3) Resources for participation (i.e., time, money, and civic skills; Brady, Verba & Schlozman, 1995). (4) Decision types (Gove and Costner, 1969). (5) Organizational context. (6) Community context (Perkins et al., 1996). (7) The larger, societal context.

After identifying all the relevant factors that cause fluid participation, I then incorporate these factors into an integrated framework for the understanding of fluid participation in nonprofit organizations. This paper concludes with a discussion of its theoretical and policy implications.

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Paper Number: PA021527

Paper Title: Exploring The Roots of Employee Turnover in Child Welfare Organizations

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Summary of Research

Child welfare agencies have identified worker turnover as a particularly problematic organizational issue. Reports of turnover in some child welfare agencies identify annual turnover at 40% and higher among family service workers.

A survey of staff at all levels in 7 child welfare and children's mental health agencies was conducted in Ontario in 2001. The survey included variables related to individual, work, and organizational characteristics in an attempt to develop a comprehensive understanding of why turnover takes place in these organizations. Results from 500 completed surveys, supplemented by focus group interviews, are presented.

Description

Child welfare agencies have identified worker turnover as a particularly problematic organizational issue. For example, the Children's Aid Society of Toronto recently reported that annual turnover among its family service workers tripled from 1997 to 2000 and intake worker turnover increased from 10 to 18% during the same period. Many more intake workers transferred to other positions in the organization when those became available. Other reports of turnover in child welfare agencies identify annual turnover at 40% and higher among family service workers (Children's Aid Society of Toronto, 2001). In children's mental health agencies, turnover also seems to be an issue for residential care services.

Turnover is costly to organizations and high turnover radically escalates those costs. Costs are related to actual money spent in recruiting, selecting, and training new staff. But there are other costs too: costs related to the impact on coworkers of seeing a valued colleague leave; the costs of the increased workloads assumed by others who must do more until a replacement is found and up-to-speed; the costs of losing the knowledge and skills that extensive experience creates; and the costs borne by a family or a child who lose, at a minimum, a sense of continuity with a worker.

Do people decide to leave child welfare and children's mental health organizations because of the work itself, because of the workload, or because they find "success" difficult to experience? Is burnout a significant factor? Departing employees often give these reasons for their decisions to leave, but research on turnover demonstrates that deciding to stay or leave is a complex process not easily captured in a brief exit interview or letter of resignation. To develop a comprehensive understanding of why turnover takes place in these organizations, and to be able to offer advice to managers on preventing turnover, this research looks at the roots of turnover in child welfare and children's mental health organizations.

According to a meta-analytic review by Griffeth et al. (2000), considerable evidence supports the contention that across a wide variety of occupational groups, the best predictor of actual turnover is turnover intention. The next best predictors of turnover are organizational commitment and overall job satisfaction. Many studies over the years have supported the contention that both individual and work characteristics affect job satisfaction and organizational commitment. For example, the relationship between work-family conflict and turnover is one that requires better operationalization and more research. Studies that have examined these variables indicate that there is a positive correlation between work-family conflict (either work interferes with family responsibilities or family responsibilities

interfere with work) and turnover intentions and turnover, but that it may be moderated by employee perception that the employer has flexible policies that allow for personal control over work time and other work conditions. On the other hand, greater kinship responsibility and greater number of children, according to Griffeth et al. (2000), is associated with lower turnover.

Other variables that affect job satisfaction and organizational commitment include perceived procedural and distributive justice and satisfaction with intrinsic attributes of the job. The findings are mixed in terms of the importance of satisfaction with or support from supervisor and co-workers, and work group cohesion and integration. It appears that constructs such as job content, job stress, role stress, role conflict, job performance and role ambiguity may interact with supervisor and co-worker support, perhaps leading to inconsistent findings across occupational groups. Research with nurses suggests that work group cohesion and support from co-workers and supervisor may be most important in preventing turnover with newer staff.

Of particular interest to child welfare and children's mental health organizations is Griffeth et al.'s (2000) conclusion that little research has substantiated the idea that job stress induces turnover through its impact on job satisfaction. Griffeth et al. acknowledge that the lack of relationship between job stress and turnover may be related to the field's narrow conceptualizations of job stress. It may be that, in the helping professions, turnover is predicted to some degree by burnout, and that job stress in interaction with other variables such as social support at home and at work leads to burnout. The literature would suggest that personal control or autonomy might be one of the more important variables that interacts with others to have effects on burnout and job satisfaction.

We cite here only a few of the many relationships examined in the enormous amount of research that has been done on turnover. We might expect that tremendous strides have been made in our ability to predict turnover and to make recommendations to managers about conditions that will improve employee retention. A close look at the empirical findings however, reveals that the accuracy with which one can predict voluntary turnover is actually quite low. As Lee, Mitchell, Holtom, McDaniel, and Hill (1999) point out, Griffeth et al.'s (2000) comprehensive meta-analysis demonstrated that the "proportion of variance shared by levels of satisfaction and turnover is 3.6 percent, and the proportion shared by intention to leave and actual leaving is 12 percent" (Lee et al., 1999, p. 450). Obviously, we must acknowledge that focusing only on understanding job satisfaction, organizational commitment, and so on is not advancing our knowledge of why individuals might decide to stay with or leave an organization.

In 1994, in response to the recognition that current ways of thinking about antecedents to turnover were not leading to significant contributions, Lee and Mitchell proposed an alternative theory they termed the "unfolding model." According to Lee et al. (1999), most previous turnover theories assumed that a rational choice process precedes employee resignations. They assert that many people follow different paths in leaving their employers, many quitting without having sought or considered their alternatives.

This research employs Lee and Mitchell's concepts of "shock" and "image violation" in addition to more traditional measures of individual, work, and organizational characteristics in an attempt to develop a comprehensive understanding of why turnover takes place in child welfare organizations. A survey of staff at all levels in 7 child welfare and children's mental health agencies was conducted in Ontario in 2001. Actual turnover data is also being collected from these agencies.

Results from 500 completed surveys, representing a 50% return rate, supplemented by focus group interviews, will be presented. At this point, the data are being analyzed, so the actual results are not yet available. We expect to present the results of our research and the implications of these for managers in child welfare organizations in this paper.

Paper Number: PA021266

Paper Title: Beyond Accountability: Ethical Capital and Nonprofit Organizations in the 21st Century

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Summary of Research

While for-profit organizations have struggled in recent years with issues related to stakeholder relationships, little work has been done with respect to ethical dimensions of nonprofit organizations and the relationship of these to stakeholders. This paper examines several concepts relative to ethical considerations for nonprofits that go beyond the question of accountability. These include trust, integrity, leadership and stakeholders' relationships to these organizations. A multidimensional model of these considerations is developed and it is argued that this collective forms a basis of ethical capital for nonprofit organizations that enables them to enhance stakeholder relationships and also performance.

Description

While ethical considerations and concerns have received enhanced attention within the field of organization studies within the last century, and certainly within the last three decades, most of this attention has been directed toward these practices as they relate to for-profit organizations. From the Berle-Dodd debate that was played out in the Harvard Law Review in the first half of the 20th century, to the revelations that led to the Corporate Watergate in the second half and the Enron scandal that begins the 21st century, society has increasingly demanded more than profit-making from its corporate institutions. It has also demanded, in the words of Edward Freeman, some enhanced appreciation for the importance of stakeholder focus and societal responsibility on the part of these organizations. While many scholars have used the work of Freeman and others to explore the concepts commonly referred to as business and society, corporate social responsibility and stakeholder relationships within the for-profit domain, little, if any, attention has been given to these ideas within the domain of nonprofit organizations. This is highly significant due to the growth in the nonprofit industry in recent years as well as the increased public scrutiny that has been focused on the behavior of these organizations and their leadership in recent history, particularly with respect to events emanating from the catastrophic events of September 11, 2001.

This paper will focus through the lens of ethics on nonprofit organizational performance, leadership and the relationship of these to each other in an effort to explain the effectiveness or non-effectiveness of nonprofit organizations. More specifically, the paper uses the work of other scholars within the field of ethics and corporate social responsibility as well as original research to frame the concept of ethical capital as an asset that may be as critical to nonprofit organizations as the financial capital that enables them to function.

The common theme among much scholarship in the domain of ethics is that firm performance is enhanced by managerial acknowledgment of stakeholders and their concerns. Similarly, Agle, et al, have addressed the role of leadership and identified the values of leaders effective in addressing these stakeholder concerns. Agarwal, et al, provide us with guidance concerning the ethical climate of organizations and the role of leadership in creating and sustaining this climate for stakeholders. Other scholars, including George Brenkert, Lynn Sharp Paine and Robert Solomon, offer to us direction concerning the application of foundations of ethical behavior, such as integrity and trust. None of these scholars, however, provides us with guidance concerning how these concepts might be integrated in the study of ethical behavior of organizations or whether or how they might be related and important to each other.

The work of Waddock and Graves (1997) on quality of management and quality of stakeholder relations provides perhaps the best insight into the possibility and the usefulness of an integrative conceptual framework for linking corporate social performance (CSP), stakeholders and the quality of

management. Waddock and Graves make an important argument in advancing the integration of CSP and stakeholder theories. This is that CSP is fundamentally about the relationships between a firm and its primary stakeholders and possibly its secondary stakeholders as well. They note that “many studies use different measures as proxies for the multidimensional construct of corporate social responsibility that inadequately reflect the breadth of the construct”.

Although the authors make this important observation, they do not describe the potential content of the “multidimensional construct of CSP” further. This paper builds on the work of Waddock and Graves as well as other scholars in the ethics domain in embracing the need for a multidimensional construct of corporate social performance and corporate social responsibility. However, it expands upon this body of knowledge in arguing that there exists a construct that, while it has embedded in it the notion of corporate social responsibility, goes beyond it. The work of other scholars referencing the ethical characteristics of leadership, integrity, accountability and others that appear in the literature is also taken in to account. Reference is made in this work to this multidimensional construct as constituting the ethical capital of an organization.

Less scholarly attention, where more is needed, has been paid to the role of stakeholders and leaders, their roles and impact on the ethical foundations of their organizations and the ramifications of this for both the individuals and the collective. One of the major reasons for this is that these organizations hold the potential to affect important aspects of the lives of the general public. It is arguable that this is an important area for research because public trust in nonprofit organizations that is grounded in reality is crucial. Because of the need for this trust and the consequences that it holds for a highly diverse stakeholder group, nonprofit leaders are accountable in ways that are at least as diverse as their stakeholders. This accords them special responsibility to look beyond their own organization to the broader issues in society. In doing so, they need to maintain a special balance of organizational focus and goals and broader societal concerns, owing to the stakeholder situation inherent in each and every nonprofit.

The focus in organizing this paper is to engage in a new approach to stakeholder theory and nonprofit organizations by borrowing from the extant ethics literature and understandings as well as original research in order to develop new frameworks for understanding important relationships within and without nonprofit organizations. Stakeholder thinking is used as a bridge to connect this new stream of research in nonprofit scholarship with a developed and developing stream in the for-profit arena. The general context is to provide nonprofit organizations with a framework through which they can explore and better understand both their ethical responsibilities to society and their many stakeholders as well as the effects and ramifications (positive and negative) of attention to ethical practices by these organizations and their leadership.

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Paper Number: PA021429

Paper Title: The impact of management principles in a church setting

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Summary of Research

This study surveyed 100 churches to investigate whether churches are more successful, as measured by growth in receipts and attendance, when they are more professionally managed and through a case study approach examines how specific churches have built an organization that focuses on both religious objectives and sound management principles. The analyses found that growth in receipts for churches with above average levels of professional management was statistically higher than the growth for churches with average or below average levels of professional management and found no difference in attendance. Common themes that emerged from the case studies are reflected upon.

Description

Statement of the Problem

Churches struggle with whether or not management principles apply to them and if they do, then the question arises as to how they should apply these principles without compromising their beliefs. After all, there tends to be a perception that the worlds of religion and business should remain separate. The purpose of this study is to explore how to blend these worlds and provide adaptive strategies for churches that are trying to become more professionally managed. This study examines whether churches are more successful, as measured by growth in receipts and attendance, when they are more professionally managed. It also explores through a case study method how specific churches have built an organization that focuses on both religious objectives and sound management principles.

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

According to Peter Drucker (1998), "the differences between managing a chain of retail shops and managing a Roman Catholic diocese are amazingly fewer than either retail executives or bishops realize" (154). Unfortunately, non-profit organizations, and more specifically churches struggle with the idea of applying management principles to their organizations. Part of this struggle may be due to the differences between churches and for-profit organizations. Churches operate in a different manner than for-profit organizations as they focus on less tangible measures of success such as serving the public or impacting a person's life (Drucker, 1998, 152; Migliore, Stevens, Loudon, and Williamson, 1995, 17). Churches also differ from for-profit organizations in how they collect money. While a for-profit sells a good or service, non-profit organizations rely heavily on donations, membership fees, contributions, and endowments (Migliore, Stevens, Loudon, and Williamson, 1995, 17). Even though these differences exist, Peter Drucker suggests that the real challenge in working with non-profit organizations is how to apply management principles, not whether you should apply management principles in the non-profit setting. (1998, 154).

This struggle is complicated by that fact that rarely does the management literature include a reference to churches as a part of the non-profit world (Dimaggio and Anheier, 1990, 139). Church organizations such as the Southern Baptist Convention and Zondervan Publishing have recently contributed to the church management literature, but most of this information is gleaned from church pastors who manage successful (large) churches and is anecdotal in nature. (Blanchard, Hybels, and Hodges, 1999; Butler and Herman, 1999; Southerland, 1999) Though this literature may be helpful to some churches, it is not grounded in sound management research and therefore does not look to validating methods or results. Since this study focuses on how churches can become more professionally managed, understanding the notion of managing professionals is also important. The current focus in the literature on managing professionals is in the area of for-profit organizations such as doctors, lawyers, engineers, and accountants (Raelin, 1991). This literature suggests that organizations need to manage professionals differently from the rest of the organization's employees and provides specific recommendations on how to do this in a for-profit organization (Mintzberg, 1989; Raelin, 1991). Clergy are also considered

professionals, but they receive little specific attention in management writing (Raelin, 1991). As such, more specific, church related examples would help churches that are trying to utilize concepts from this literature. However, an understanding of managing professionals is only part of the equation as a church also needs to understand how organizations change.

While there are many different change theories, lifecycle, evolution, and punctuated equilibrium seem to provide the greatest insight into how churches can change (Van de Ven and Poole, 1995). Life cycle change views organizations as similar to people and proceeding through various stages in their lives such as infancy, adolescence, and prime (Adizes, 1999). Evolutionary change theory, views change as happening slowly and being cumulative over time (Romanelli and Tushman, 1994). A variation of evolutionary change theory is Greiner's idea of evolution/revolution, which depicts change as involving periods of slow change, or evolution, interspersed with periods of radical change, or revolution (1972). Evolutionary/revolutionary change theory is closely tied to the change concept of punctuated equilibrium that describes change as consisting of periods of relative equilibrium punctuated by periods of disequilibrium that result in change (Eldredge and Gould, 1972; Lichtenstein, 1995; Romanelli and Tushman, 1994).

The Approach

This study utilizes data from a survey of 100 churches to evaluate the benefit of professional management to church performance as measured by growth in receipts and attendance. This study also uses case studies of churches to collect specific information about how churches can move towards higher levels of professional management. This combination of rigorous quantitative and qualitative research provides new insight into how to apply management principles to churches.

The Contribution to the Field

□According to Drucker "the non-profit social sector is where management is most needed today and where systematic, principled, theory based management can yield the greatest and fastest results" (1998, 152). While books and articles have been written about church management, the data is mostly anecdotal in nature. This study seeks to apply rigorous research methods to the area of church management in order to provide validated research findings that can be used to improve church performance and management.

Paper Number: PA021500

Paper Title: Values in practice: implications for strategy and organisation studies

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Summary of Research

This paper argues that values generate equivocal behaviours and interpretations. Our understanding of values in practice in management and organisations studies is poor because methodologies treat values as universal concepts with limited definitions and study them in context independent situations. An approach to the study of values is offered using a set of comparative cases within a niche, non profit sector. The method is ethnographic and the emphasis is on a rich description of values as they are practiced within a specific context.

Description

Values in Practice: implications for strategy and organisation studies

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Values in practice: implications for strategy and organisation studies

'If you want a description of our age, here is one: the civilization of means without ends' □□□□□
Richard Livingstone (1956:9)

Key words: Values, practice, organisations, strategy, nonprofit, voluntary

A value is someone's sense of what ought to be as distinct from what is' (Schein, 1992:19). Values are equivocal, however. They are as likely to be complementary and conflicting. For instance, in many non profit organisations, policies of inclusion often require some form of active discrimination:

'Often such lists of values are not patterned, sometimes they are even mutually contradictory, and often they are inconsistent with observed behaviour' (Schein, 1992:21).

In the field of strategy and organisation studies, our understanding of how we practice our values is poor. Research tends to focus on finding out what values we hold and whether others hold them too. It is not what value but what significance a value has within a context that is important in the study of values.

Values have been shown to have impact in the long-term direction of an organisation (Horton-Smith, 1999). After all, it is the values and actions of the founding leader that creates the culture of an organisation in the first place (Schein, 1992:15-19).

The importance of values in the decisions of leaders and senior managers was made clear with the early work of Barnard (1937), Selznick (1957), and Andrews (1971). There is clear consensus throughout the

literature that values are strongly related to those decisions that impact on an organisation's strategy. Guth and Tagiuri's quote is typical of the kind of assertions that can be found in the literature:

'For it is quite clear, on the basis both of observation and of systematic studies of top management in business organisations, that personal values are important determinants in the choice of corporate strategy' (1965:12).

However, keeping with the tradition that 'insisted that thinking must end before action begins...', Mintzberg's review (1998;195) of the strategy literature shows that values have been treated as peripheral or marginal factors in the process of strategy development.

Rokeach laments the fact that although there is an embarrassment of academic riches in the field, there is still little understanding of values (1979:3). Traditional research methods in the field have operated under three assumptions; that the number of human values is small and their meaning is universal, that values can be studied in context independent settings and that they are instrumental in decision making.

In the study of human activity, context-free methodologies do not fit with the pragmatic way action is defined by those involved in real-life situations. Context-independent research and theory development is inherently paradoxical. Theory is valued because it is described as independent and predictive. It is also, however, based on research that has been conducted with experts (managers, leaders etc) who exist 'by virtue of context and judgement' (Flyvberg 2001:42).

An approach to the study of values is offered using a set of comparative cases within a niche sector. The approach is ethnographic and the empirical emphasis will be on the rich description of values as they are practiced within a specific context. The study is using a niche sector of 21 primary schools based in the Republic of Ireland. These organisations are distinguished from the mass of Irish schools by a unique set of values that govern all academic and policy decisions. The schools are publicly funded and deliver national curricula. Unlike most schools in the Republic, these schools are not attached to a religious denomination. The schools are founded and governed by groups of volunteers who are supportive of independent and democratic structures.

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