

Paper Number: PN022111

Paper Title: From Advocates to Policy Entrepreneurs: Examining Nonprofit Participation in the Public Policy Process

Author(s):

Eric C. Twombly, The Urban Institute, Washington, DC, USA

Description

We know anecdotally that many factors, both internal and external, lead a nonprofit organization toward or away from advocacy. Internal factors include organizational history and mission; leadership; information about, or access to information about, allowable nonprofit lobbying; and financial resources. External factors that likely affect a nonprofit's decision to lobby include political environment; foundation and government funding; government regulation; competition or collaboration with other nonprofits; and the organization's constituencies. We often assume that these factors figure significantly in the success of nonprofit advocacy efforts.

However, there is a lack of in-depth research on the organizational dynamics at play—and the outcomes—when nonprofits participate in public policy. This panel presents three papers that will help fill this gap in the research. Examining organizations from the national, state, and local perspectives, the papers assess nonprofit participation across the spectrum of advocacy activity—from policy development, to lobbying, to policy replication among the states.

The first paper explores how organizational structures and characteristics facilitate or constrain the advocacy activities of state and local nonprofit groups promoting higher wages and benefits for child care workers. This paper will also provide lessons learned about the relationships between capacity for advocacy, strategies of action, and policy successes.

A second paper reports on the only national study of the internal and external factors that influence nonprofits' public policy participation. Addressing the leading motivations for and barriers to nonprofit lobbying, the Strengthening Nonprofit Advocacy Project also provides strategies for practitioners in all types of advocacy organizations.

In examining nonprofit advocates who match public problems and political conditions to their policy solutions, the third paper presents a new approach to understanding nonprofits as “policy entrepreneurs.” The paper uses extensive interview data to determine the nature of nonprofit advocacy activities leading to the diffusion of the Teacher Education and Compensation Help (TEACH) program across 17 states.

Paper Number: PN022111.1

Paper Title: Organizational Differences Among Child Advocacy Groups

Author(s):

Maria Montilla, The Urban Institute, Washington, DC, USA

Elizabeth (Betsy) Reid, The Urban Institute, Washington, DC, USA

Summary of Research

The overarching theme of children's well-being frames the policy agenda for quality child care and creates common political ground for an array of organizational policy players, such as child care centers, associations of child care providers, unions, parents groups, and child advocacy organizations. This organizational landscape adds to a complex and sometimes fragmented policy environment for child care reform. Our paper will explore how organizational structures and characteristics facilitate or constrain the advocacy activities of state and local nonprofit groups. It will provide lessons learned on the relationships between capacity for advocacy, strategies of action, and policy successes.

Description

Background of the issue

The overarching theme of children's well-being frames the policy agenda for quality child care and creates common political ground for an array of organizational policy players, such as child care centers, associations of child care providers, unions, parents groups, and child advocacy organizations. These organizations, however, represent diverse constituencies with distinct as well as common interests, from parents and the general public to providers and child care workers. And while they are part of the broader nonprofit sector and agree on the need to advance the well-being of children, these nonprofits have varying capacities to advocate, are subject to different kinds of political regulation, and use varying strategies of action in the policy process (De Vita, Mosher-Williams, et al. 2001 and Reid, 2001). Further, they make use of different partnering arrangements when they advocate on specific policy proposals related to the question of quality care for children. This organizational landscape adds to a complex and sometimes fragmented policy environment for child care reform. Groups often find it difficult to assess how to build organizations and act strategically in ways that can succeed in securing quality child care for children (Rosenbaum and Sonosky, 2001).

Previous research

Research recently conducted by the Urban Institute, Center on Nonprofits and Philanthropy in Georgia, Massachusetts, and Washington State explored how nonprofits influence child care worker compensation initiatives in state policy making as a way to improve quality care for children (Montilla, Twombly, De Vita 2001a). This research documented the use of multiple advocacy activities to support or oppose policy designed to increase compensation and found considerable differences in the levels of policy engagement and the degree of competition and collaboration among groups (Montilla, et al, 2001b). However, this research stopped short of fully examining the capacity of groups to address the child care compensation issue in the policy process.

This paper's approach and its contribution to the field

This paper will draw on initial findings from a project now underway at Urban Institute's Center on Nonprofits and Philanthropy to understand how organizational factors of child advocacy groups, such as mission, structure, finances, and constituencies, facilitate or constrain their advocacy activities. The paper will address the following aspects:

- First, we will describe the capacity and structures of the nonprofit groups that advocate on behalf of quality child care in Georgia, Massachusetts, and Washington State, and document how their mission,

structure, resources, and constituency influence their advocacy activities.

·□Second, we will explore how their capacity for advocacy influences the types of issues that they pursue in their policy agendas.

·□Finally, we will compare organizations in terms of their capacity, advocacy issues, and policy goals. We will analyze relationships between capacity for advocacy, strategies of action, and policy success.

This paper will build on and add to a growing body of research about child advocacy organizations. Likewise, the preliminary findings of this study will provide practical information to nonprofit leaders to better assess the organizational dynamics of effective advocacy.

References

De Vita, Carol J, Rachel Mosher-Williams, and Nicholas A.J. Stengel. 2001. "Nonprofit Organizations Engaged in Child Advocacy. In *Who Speaks for America's Children? The Role of Child Advocates in Public Policy*, edited by Carol J. De Vita and Rachel Mosher-Williams (81-104). Washington, DC: The Urban Institute Press.

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Paper Number: PN022111.2

Paper Title: Nonprofits as Policy Entrepreneurs: Understanding State-to-State Replication of Public Policy by Advocacy Organizations

Author(s):

Rachel Mosher-Williams, The Urban Institute, Washington, DC, USA

Eric C. Twombly, The Urban Institute, Washington, DC, USA

Summary of Research

Although research on nonprofit advocacy is growing, little is known about the role of nonprofits in diffusing specific policy initiatives across the states. In examining advocacy organizations who match public problems and political conditions to their policy solutions, this paper presents a theoretical framework for understanding nonprofits as “policy entrepreneurs.”

Description

Why are some policy approaches placed on the public policy agenda, while others fail to garner support for legislative discussion? Scholars have studied these questions in some detail, leading to numerous theoretical perspectives on political choices. Most notable is Kingdon’s seminal work on “policy entrepreneurs” (1984), which attempts to link public problems and political conditions to promote their policy agendas. To date much of the research on Kingdon’s policy entrepreneurs has focused on the role of legislators as key political actors (Schiller 1995), often overlooking the important role of nonprofits in setting the public agenda, particularly related to children and labor policy.

A recent study by the Urban Institute began to explore the role and activities of nonprofits as policy entrepreneurs (Montilla, Twombly, and De Vita 2001). Their findings suggest that neat classifications of nonprofit advocacy are elusive at best, and that the effectiveness of particular strategies of nonprofit entrepreneurs varies by the social, economic, and political circumstances in each state. But Montilla et al. specifically focused on intrastate policy development, sidestepping a political phenomenon that has received considerable attention: the diffusion of policy across the states (Mintrom 1997).

Policy replication from state to state has occurred for many years, but the recent proliferation of information at national governors meetings and on the Internet has facilitated and increased the pace of this model of policy adoption. This paper will address the considerable gap in our understanding of the role played by nonprofit advocates in efforts to diffuse policy initiatives across the states.

References

Kingdon, John W. 1984. *Agendas, Alternatives, and Public Policies*. Boston: Little, Brown, and Company.

Mintrom, Michael. 1997. Policy Entrepreneurs and the Diffusion of Innovation. *American Journal of Political Science*, 41(3), 738-770.

Montilla, Maria D., Eric C. Twombly, and Carol J. De Vita. 2001. “Nonprofit Advocacy Initiatives to Improve Child Care Workers’ Compensation.” Paper presented at annual conference of the Association for Research on Nonprofit Organizations and Voluntary Action, Miami, FL.

Paper Number: PN022111.3

Paper Title: Supporting a Public Voice: Strengthening Nonprofit Advocacy in the United States

Author(s):

David F. Arons, Charity Lobbying in the Public Interest, Washington, DC, USA

Summary of Research

Nonprofits' participation in the policy process is often critical to fulfilling mission-related goals and improving laws that affect the quality of life, rights and opportunities for their communities. Yet while some nonprofits have devoted significant resources to their advocacy activities, many others face obstacles within their organization and in their community that deter, delay and can prevent their involvement. This paper address these issues by presenting findings from the Strengthening Nonprofit Advocacy Project of Tufts University, OMB Watch and Charity Lobbying in the Public Interest, which examines the factors that influence nonprofits' participation in the policy process.

Description

Nonprofits' participation in the public policy process is often critical to fulfilling mission-related goals and improving laws that affect the quality of life, rights and opportunities for their communities. Yet, while some nonprofits have devoted significant resources to their advocacy and even lobbying activities, many others face obstacles within their organization and in their community that deter, delay and can prevent their involvement.

This paper will present findings from the Strengthening Nonprofit Advocacy Project of Tufts University, OMB Watch and Charity Lobbying in the Public Interest that is examining factors that influence nonprofits' participation in the public policy process. Specifically, the paper will present data that addresses the following questions.

- What do the terms public policy participation, lobbying and advocacy mean to nonprofit staff and volunteer leaders of local and state organizations?
- What are the leading motivating factors for nonprofits' public policy involvement?
- What are the leading barriers to becoming involved and increasing their participation?
- How do factors including foundation and government funding affect nonprofits' willingness and capability to advocate?
- What do nonprofits need to encourage and aid their public policy work?
- What are strategies for hurdling barriers to participation that might be used by organizations various causes?

The methodology of the Strengthening Nonprofit Advocacy Project (SNAP) includes: 1) Data from a survey of 501(c)(3) charitable organizations selected randomly from their 990 forms. The dataset includes over 1800 completed surveys along with each organization's 990 information. 2) Interviews with forty executive directors of charitable nonprofits that responded to the survey, 3) Qualitative data from seventeen focus groups of executive directors and board members of charitable nonprofits in six cities from across the U.S. The project is a collaborative effort between a practitioner organizations, OMB Watch and Charity Lobbying in the Public Interest and an academic institution, Tufts University and will culminate in a series of papers and is building an online nonprofit public policy resources website. The SNAP research is groundbreaking in that there isn't a previous national study of the internal and external factors influencing charities' public policy participation. It builds on previous theoretical research including: Salamon, Lester M., "Explaining Nonprofit Advocacy: An Exploratory Analysis," adapted for *The Invisible Sector: Nonprofit Organizations in a Time of Change*, (forthcoming), prepared for delivery at the Independent Sector Spring Research Forum, 1995; and Reid, Elizabeth, J. "Nonprofit Advocacy and Political Participation" In *Nonprofits and Government: Collaboration and Conflict*, ed. Elizabeth T. Boris and Eugene Steuerle. Washington, DC: The Urban Institute Press, 1999. It also draws on political science literature on interest groups including: Berry, Jeffrey. *Lobbying for the People: The Political Behavior of Public Interest Groups*. Princeton, NJ: Princeton University Press, 1977.; and Skocpol,

Theda. and Morris P. Fiorina, ed., *Civic Engagement in American Democracy*, Washington, DC: Brookings Institution Press, 1999.

Paper Number: PN022114

Paper Title: Nonprofit Management and Economic Efficiency

Author(s):

Dr. William Luksetich, St. Cloud State University, St. Cloud, MN, USA

Description

Intro and Abstracts

This session considers the performance, measurement, and incentives of managers in nonprofit arts organizations. The panel includes three papers by Michael Rushton, Thomas Carroll, William Luksetich, Patricia Hughes, and Arthur Brooks. Rushton's paper focuses on performance management and accountability in State Arts Organizations. He emphasizes the importance of organizations to be able to demonstrate a clear public purpose in achieving their goals, increasing the likelihood of receiving public grants. Carroll, Luksetich, and Hughes analyze the compensation of managers based on traditional measures of performance and efficiency. They find that managers in nonprofit organizations are not rewarded themselves when operating efficiently, indicating a possible conflict in managerial decision-making. Brooks' paper studies public opinion on the role of private philanthropy, yielding important implications on the efficient practices of nonprofit arts management in Western European countries, especially regarding fundraising.

Rushton notes that State Arts Agencies are increasingly governed through systems emphasizing performance management and accountability. This has changed granting policy in favor of those arts organizations that can demonstrate a clear public purpose beyond the claim of the "excellence" of their cultural product. But setting measurable goals in the arts is notoriously difficult, given the inherent uncertainty involved in artistic creation and when the very values that arts policies are meant to embody are subject to controversy. To a large degree the issues in arts funding are similar to the challenges facing administrators in the contracting of social service provision. This paper draws on the insights of the substantial literature on the contracting of social services to ask whether there are lessons to be learned for state funding of the arts.

Carroll, Luksetich, and Hughes test whether or not, and to what extent, executives of not-for-profit organizations are compensated in relation to how efficiently they achieve their individual objectives. For instance, they expect that fundraisers will be compensated in proportion to the ratio of funds raised to funds expended (net of their own compensation) in fundraising. Similarly, program directors should be compensated in proportion to the ratio of program revenue to program expenditure. Finally, they expect that managerial executives will be paid in proportion to the ratio of revenue to costs.

Preliminary results indicate that the efficiency incentive is not statistically significant for fundraisers. The efficiency variable has a negative and statistically significant coefficient for program directors and general managers, implying that the null hypothesis that program directors are rewarded for efficiency is rejected. In each case both lagged compensation and previous year's ending assets have a significant positive impact on executive pay.

In the third paper, Brooks studies public opinion on the role of private philanthropy in supporting the arts in Spain, and compares the results to U.S. studies. He finds that support in Spain for private arts funding decreases with income, social class, and education. However, unlike in the U.S., the effects of age and political ideology are ambiguous. The paper's empirical results yield several lessons for nonprofit arts management practices--especially regarding fundraising--in Western European countries undergoing processes of privatization.

Paper Number: PN022114.1

Paper Title: Arts Philanthropy and the Changing Role of Arts Management in Europe

Author(s):

Professor Arthur Brooks, Syracuse University, Syracuse, NY, USA

Summary of Research

This paper studies public opinion on the role of private philanthropy in supporting the arts in Spain, and compares the results to U.S. studies. I find that support in Spain for private arts funding decreases with income, social class, and education. However, unlike in the U.S., the effects of age and political ideology are ambiguous. The paper's empirical results yield several lessons for nonprofit arts management practices--especially regarding fundraising--in Western European countries undergoing processes of privatization.

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This session considers the performance, measurement, and incentives of managers in nonprofit arts organizations. The panel includes three papers by Michael Rushton, Thomas Carroll, William Luksetich, Patricia Hughes, and Arthur Brooks. Rushton's paper focuses on performance management and accountability in State Arts Organizations. He emphasizes the importance of organizations to be able to demonstrate a clear public purpose in achieving their goals, increasing the likelihood of receiving public grants. Carroll, Luksetich, and Hughes analyze the compensation of managers based on traditional measures of performance and efficiency. They find that managers in nonprofit organizations are not rewarded themselves when operating efficiently, indicating a possible conflict in managerial decision-making. Brooks' paper studies public opinion on the role of private philanthropy, yielding important implications on the efficient practices of nonprofit arts management in Western European countries, especially regarding fundraising.

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Carroll, Luksetich, and Hughes test whether or not, and to what extent, executives of not-for-profit organizations are compensated in relation to how efficiently they achieve their individual objectives. For instance, they expect that fundraisers will be compensated in proportion to the ratio of funds raised to funds expended (net of their own compensation) in fundraising. Similarly, program directors should be compensated in proportion to the ratio of program revenue to program expenditure. Finally, they expect that managerial executives will be paid in proportion to the ratio of revenue to costs.

Preliminary results indicate that the efficiency incentive is not statistically significant for fundraisers. The efficiency variable has a negative and statistically significant coefficient for program directors and general managers, implying that the null hypothesis that program directors are rewarded for efficiency is rejected. In each case both lagged compensation and previous year's ending assets have a significant positive impact on executive pay.

In the third paper, Brooks studies public opinion on the role of private philanthropy in supporting the arts in Spain, and compares the results to U.S. studies. He finds that support in Spain for private arts funding decreases with income, social class, and education. However, unlike in the U.S., the effects of age and political ideology are ambiguous. The paper's empirical results yield several lessons for nonprofit arts

management practices--especially regarding fundraising--in Western European countries undergoing processes of privatization.

Paper Number: PN022114.2

Paper Title: State Public Funding of Arts Organizations and the Implementation of Performance Management: Lessons from Contracting Social Services

Author(s):

Professor Michael Rushton, Georgia State University, Atlanta, GA, USA

Summary of Research

State Arts Agencies are increasingly governed through systems emphasizing performance management and accountability. This has changed granting policy in favor of those arts organizations that can demonstrate a public purpose beyond the claim of the "excellence" of their cultural product. Setting measurable goals in the arts is difficult, given the uncertainty involved in artistic creation and when the values that arts policies are meant to embody are subject to controversy. This paper draws on the insights of the literature on the contracting of social services to ask whether there are lessons to be learned for state funding of the arts.

Description

This session considers the performance, measurement, and incentives of managers in nonprofit arts organizations. The panel includes three papers by Michael Rushton, Thomas Carroll, William Luksetich, Patricia Hughes, and Arthur Brooks. Rushton's paper focuses on performance management and accountability in State Arts Organizations. He emphasizes the importance of organizations to be able to demonstrate a clear public purpose in achieving their goals, increasing the likelihood of receiving public grants. Carroll, Luksetich, and Hughes analyze the compensation of managers based on traditional measures of performance and efficiency. They find that managers in nonprofit organizations are not rewarded themselves when operating efficiently, indicating a possible conflict in managerial decision-making. Brooks' paper studies public opinion on the role of private philanthropy, yielding important implications on the efficient practices of nonprofit arts management in Western European countries, especially regarding fundraising.

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Carroll, Luksetich, and Hughes test whether or not, and to what extent, executives of not-for-profit organizations are compensated in relation to how efficiently they achieve their individual objectives. For instance, they expect that fundraisers will be compensated in proportion to the ratio of funds raised to funds expended (net of their own compensation) in fundraising. Similarly, program directors should be compensated in proportion to the ratio of program revenue to program expenditure. Finally, they expect that managerial executives will be paid in proportion to the ratio of revenue to costs.

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decreases with income, social class, and education. However, unlike in the U.S., the effects of age and political ideology are ambiguous. The paper's empirical results yield several lessons for nonprofit arts management practices--especially regarding fundraising--in Western European countries undergoing processes of privatization.

Paper Number: PN022114.3

Paper Title: Executive Compensation: Are nonprofit managers rewarded for efficiency?

Author(s):

Professor Thomas Carroll, University of Nevada, Las Vegas, Las Vegas, NV, USA

Professor Patricia Hughes, St. Cloud State University, St. Cloud, MN, USA

Professor William Luksetich, St. Cloud State University, St. Cloud, MN, USA

Summary of Research

We test whether executives of not-for-profit organizations are compensated in relation to how efficiently they achieve their individual objectives. We expect that fundraisers will be compensated in proportion to the ratio of funds raised to funds expended in fundraising. Program directors should be compensated in proportion to the ratio of program revenue to program expenditure. We expect that managerial executives will be paid in proportion to the ratio of revenue to costs.

Preliminary results indicate that executives are not rewarded for efficiency. Lagged compensation and previous year's ending assets have a significant positive impact on executive pay.

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Paper Number: PN022128

Paper Title: Fundraising and Administrative Costs

Author(s):

Mark A. Hager, The Urban Institute, Washington, DC, USA

Description

Donor concerns about how their money was spent in the wake of the events of September 11 illustrates that people care about how nonprofit organizations account for and spend the money given to them. Most nonprofit organizations spend the lion's share of their money on programs, but all have administrative costs that they must cover as well. Most, whether they acknowledge it or not, have fundraising expenses. To date, nonprofit sector researchers have contributed little to our understanding of the capacity of nonprofit organizations to track and allocate their expenses to relevant categories, or how these expenses are actually distributed. This is an important topic, since transparency of spending is an important component of nonprofit accountability.

This panel will feature new results from a multi-year study of nonprofit fundraising and administrative costs conducted by The Urban Institute and the Center on Philanthropy at Indiana University. In recent past years, we have reported primarily on how information reported annually on Form 990 informs our understanding of cost allocations. This year, we will have the benefit of the centerpiece of the project's data collection exercise: survey data from over 1,500 nonprofit organizations across the United States. The survey data will allow us to investigate probing questions regarding the capacity to track and report expenses that researchers have not had the resources to investigate before.

Paper Number: PN022128.1

Paper Title: An Introduction to the Overhead Costs Study: Method and Data

Author(s):

Mark A. Hager, The Urban Institute, Washington, DC, USA

Summary of Research

This paper provides an overview of the overhead costs study, especially the procedures of survey data collection and basic results from the project. Additionally, it explores the issue of differences between survey respondents and non-respondents based on data provided on recent Form 990 returns.

Description

Survey data collection for the overhead costs study forms the basis for all of the papers in the panel. Consequently, we propose to open the session with a presentation that outlines data collection and quality issues so that the rest of the presentations can immediately focus on their content.

Data collection. We drew a sample of current Form 990 filers, stratified by subsector and size of organization. We completed phone calls with 3115 organizations, wherein we described the value of the study and obtained the name of a key contact in the nonprofit. We sent a survey with a self-addressed return envelope to the key contact. The cover letter promised a donation of \$50 for a returned survey. We followed up with a post card two-weeks later. A second mailing of the survey and return envelope featured a cover letter with a username and password that gave access to a web-based version of the survey. Two weeks after this mailing, we began calls to non-respondents. After another three weeks, we called respondents who had reacted positively to the previous call. As the ARNOVA deadline looms, we are completing data entry and allowing a few final returns to trickle in. Our response rate has exceeded 50%.

Data quality. Although a response rate of 50% is considered fairly high for a mail survey of nonprofit organizations, questions of response bias persist. Since our sample is drawn from a sample of Form 990 filers, we have detailed data on both our respondents and our nonrespondents. This affords us a unique opportunity to explore the differences between organizations that returned a survey and those that did not. This approach to assessing response bias, typical in other fields, is rare in studies of nonprofit organizations. Smith (1997) found little evidence of serious difference between respondents and nonrespondents in a survey of peace organizations, but researchers have not accumulated further evidence on this question for other types of nonprofits. Consequently, in addition to providing an overview of data collection efforts, this paper will make an independent contribution to the topic of survey non-response and subsequent bias of survey results.

Smith, J. (1997). Nonresponse bias in organizational surveys: Evidence from a survey of groups and organizations working for peace. *Nonprofit and Voluntary Sector Quarterly*, 26, 359-368.

Paper Number: PN022128.2

Paper Title: Allocation of Functional Expenses: The State of the Art in the Nonprofit Sector

Author(s):

Thomas H. Pollak, The Urban Institute, Washington, DC, USA

Summary of Research

A major shortcoming of data in the nonprofit sector is individual organizations' inability to reliably represent their organizational practices. A key dimension is how an organization spends its money, and how it allocates its dollars to programs, fundraising, and organizational administration. However, many nonprofits may be unprepared to systematically account for staff time and other expenditures when making allocation choices. The overhead costs study provides a basis for understanding expense allocations by nonprofits.

Description

The quality of data on nonprofit organizations is routinely criticized. Data from grant reports, year-end audited financial statements, IRS Form 990, and even primary data from nonprofit organizations routinely points up serious differences between an organization's practices and the way an organization represents itself. These differences are sometimes due to a conscious effort by nonprofit executives to make itself look a particular way, but it is more often due to shortcomings in an organization's financial management. While most large nonprofit organizations are able to hire accounting professionals who increase the likelihood that an organization's bookkeeping is in line with Generally Accepted Accounting Principles, smaller organizations often do not have this capacity. The result is vagaries in reporting, and an inability for researchers to compare the public documents that result.

This paper focuses on what the overhead costs study contributes to our understanding of how nonprofit organizations account for allocate costs across functional categories of program, fundraising, and administrative expenses. Our previous work on this topic focused on how these expenses are reported on Form 990. However, anecdotal evidence suggests that nonprofits achieve these allocations in various ways. Many nonprofits have no formal procedures for tracking expenditures, and no cogent way for dividing expenses into functional categories. The result is that many nonprofits allocate none of their efforts to the fundraising category, and potentially "manage" their administrative allocations to meet arbitrary guidelines set by watchdog groups.

The overhead costs survey includes several elements that will shed light on how nonprofits account for expenditures. First, we ask questions about the software that organizations use to track their fundraising revenues, if they indeed track it at all, and if they track revenues by different fundraising methods. Second, we ask questions about whether invoices or bills are coded by functional expenses when entered into accounting systems. Third, we ask if organization's have timecard systems that allow them to track staff time by functional expenses, and we ask respondents to estimate how key staff members actually allocate their time to programs, administration, and fundraising. Together with other information collected on the survey, these elements will provide the basis for a better understanding of the limitations of expense accounting in nonprofit organizations. Limitations result in differences, and these differences result in criticism of nonprofit data. Researchers will not be able to reliably describe the sector until nonprofits adopt common accounting practices and reporting standards.

Paper Number: PN022128.3

Paper Title: Fundraising Tactics: Explaining Costs and Benefits

Author(s):

Patrick M. Rooney, IUPUI, Indianapolis, IN, USA

Summary of Research

Different fundraising tactics have different costs and relatively different benefits to organizations of varying types. The overhead costs study provides insights into the difficulties that nonprofit organizations have in tracking and allocating costs to fundraising efforts. However, it also illustrates the relative different efficiencies of different fundraising methods, such as direct mail, proposal writing, and the solicitation of major gifts.

Description

In past ARNOVA meetings, we have investigated how information from Part II of Form 990 illustrates choices for spending on direct mail, phone, professional fees, and salaries of development staff in fundraising efforts by nonprofit organizations. Part I of Form 990 indicates spending on special events, which we interpret as primarily a fundraising effort. However, despite these important elements, Form 990 provides limited data on fundraising. The overhead costs study affords detailed data on fundraising expenses from a nationally representative survey of nonprofits organizations, data that has been previously nonexistent.

The survey attempts to capture information on a wide range of fundraising "methods", including direct mail, telephone solicitations, e-mail solicitations, special events, web page advertising, grant proposal writing, federated fundraising, capital campaigns, major gift solicitation, planned giving, and door-to-door/canvassing solicitation. We ask organizations if they use these methods, whether they track revenues from these methods, what revenues they gained from these methods in their last fiscal year, whether they track their expenses from these methods, what expenses they incurred from these methods in their last fiscal year, and the number of contributions they received from each method. These questions will provide two different kinds of data. First, they will tell us whether organizations can provide this information. That is, they will indicate whether nonprofits are prepared to reliably track and represent revenue and expenditure data for their fundraising efforts. Second, for those organizations that can track and provide this data, we will gain a better understanding of the relative costs and benefits of using a particular fundraising tactic or combination of tactics. For example, we know from our previous studies that use of professional fundraisers is rare, and that direct mail is a relatively cost-efficient means for soliciting funds. However, in addition to providing information on the capacity for reporting costs, the overhead costs survey will provide new insights into the relative strengths and weaknesses of fundraising strategies that we have been unable to study with other data.

Paper Number: PN022128.4

Paper Title: A Further Look at Costless Fundraising: Evidence From a Survey on Fundraising and Administrative Costs

Author(s):

Joseph J. Cordes, George Washington University, Washington, DC, USA

Sarah Wilson, The Urban Institute, Washington, DC, USA

Summary of Research

Our previous research suggests that many 'inactive fundraisers' have plausible explanations of why they report both contributions and no expenditure for fundraising. A complete analysis of inactive fundraising requires information about the characteristics and operations of individual organizations that are not reported in either financial statements or on Form 990. Such information is now available from a national survey of nonprofit organizations. This project allows the opportunity to investigate detailed data on items such as staffing, fundraising, and financial accounting practices of roughly 1500 organizations. This data will shed new light on the issue of 'inactive fundraisers.'

Description

Recent publicity surrounding the significant percentage nonprofit organizations that report receiving contributions without reporting fundraising expenses has called for further research to explore these types of organizations. Following Tuckman and Chang (1998), we term these nonprofits inactive fundraisers.

The prevalence of inactive fundraisers may simply indicate that some nonprofits are able to raise a certain amount of contributions with little or no additional expenditure of financial resources. Alternatively, the prevalence of inactive fundraisers may be a "red flag" that raises questions about the validity of reported fundraising expenses, and perhaps about the quality of financial information reported in the IRS Form 990 (Lipman, 2000). □

Our previous research (Cordes and Wilson, 2000) has attributes of inactive fundraisers from data available both from audited financial statements and IRS Form 990). Our analysis suggests that many inactive fundraisers have plausible explanations of why they might report both contributions and no expenditure for fundraising.

Although these results are suggestive, a complete analysis of the phenomenon of inactive fundraising requires information about the characteristics and operations of individual organizations that are not reported in either financial statements or on Form 990 returns. Such information has now become available from the results of a national survey of nonprofit organizations undertaken by the Urban Institute and Indiana University on "Fundraising and Administrative Costs: Benchmarking and Best Practices." This project allows the opportunity to investigate rather detailed data on items such as staffing, fundraising, and financial accounting practices of roughly 1500 organizations. Our paper will link these responses with data reported by the same organizations on the IRS Form 990. Our focus will be on survey responses from organizations that report both positive contributions and zero fundraising expenses on the IRS 990 form. Since we have found that nearly 60% of 990 filers report no fundraising costs, we expect to find several hundred inactive fundraisers among survey respondents.

The linked data will be used to compare attributes of active and inactive fundraisers such as: (1) reliance on volunteers (survey respondents report the number of volunteers at their organization and the percent of funds raised for the organization by volunteers); (2) reliance on professional fundraisers or fundraising counsel, and cost allocation of their compensation (survey data includes the number of contracts with professional fundraisers or fundraising counsel, type of fee or payment, and how their compensation is allocated); (3) reliance on affiliated nonprofit organizations, such as separately incorporated support organizations (such as "Friends of the Seattle Symphony" or "The Mercy Hospital Foundation"), parent organizations, or federated campaigns; (4) allocation of joint costs between

fundraising and other activities; (5) reliance on special events income; and (6) allocation of costs for grant proposals to foundations or the government to an expense category other than fundraising expenses.

Cordes, Joseph J. and Sarah Wilson. 2000. "Costless Fundraising: Deconstructing the Evidence. Presented at the ARNOVA Annual Conference. New Orleans, LA.

Lipman, Harvey. 2000. "Charities Zero-Sum Filing Game." The Chronicle of Philanthropy. May 18th.

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Paper Number: PN022172

Paper Title: Governance Futures, Part 1: Discovery A Dialogue on Nonconventional Governance Practices

Author(s):

Dr. Judith R. Sidel, University at Albany, SUNY, Albany, NY, USA

Description

Ultimately, boards are accountable for the nonprofit organizations they govern. While their board structures and strategies vary, most follow a traditional model that holds boards responsible for setting direction, ensuring adequate resources, and providing oversight. Through the three-year project, Governance Futures: New Perspectives on Nonprofit Governance, the Discovery research team has sought to uncover nonconventional governance practices currently in use.

During this dialogue, researchers will share their preliminary findings and elicit feedback from scholars and practitioners to generate a conversation about nonconventional governance strategies. After a year-long key informant process in which many ARNOVA members participated, the Discovery Team gathered data in on-site, intensive interviews in seven nonprofits around the country and conducted telephone interviews in another 15 organizations. Relying on these two sets of data, as well as extensive archival information from the study sites, they prepared a series of case studies of nonprofit organizations experimenting with nonconventional governance structures, processes, or participants. Discovery Team panelists will introduce their interim findings in three papers. The first two papers will each present several case studies, with the focus of each paper aligned along common themes from several sites. Case study analyses will include examination of environmental and organizational conditions that set the stage for change (triggering circumstances), the governance innovation itself, key actors in the strategy, and perceived impacts of the nonconventional approaches. The third paper will present a cross-case analysis, examine underlying issues, including accountability as a key element of nonprofit governance, and the trade-offs of alternative governance practices.

Governance Futures panelists will begin the dialogue by identifying insights, quandaries, and, in some cases, deep concerns that have emerged so far. The dialogue will then expand into a larger conversation and incorporate questions, reflections, and challenges from the audience. The panel is intended to integrate some elements of traditional paper presentations with a more interactive dynamic involving all panel members as well as audience attendees.

Paper Number: PN022172.1

Paper Title: Governance Futures I

Author(s):

Dr. Judith R. Saidel, University at Albany, SUNY, Albany, NY, USA

Summary of Research

see panel description

Description

see panel description--Governance Futures practitioner and study participant to be confirmed. We will notify ARNOVA office and Conference chair immediately upon confirmation of practitioner's availability to attend the ARNOVA Conference.

Paper Number: PN022172.2

Paper Title: Governance Futures II

Author(s):

Ms. Kathleen Fletcher, Researcher and Consultant, San Anselmo, CA, USA

Summary of Research

see panel description

Description

see panel description

Paper Number: PN022172.3

Paper Title: Governance Futures III

Author(s):

William P. Ryan, Harvard University, Cambridge, MA, USA

Summary of Research

see panel description

Description

see panel description

Paper Number: PN022175

Paper Title: Understanding Accountability and Mission in Faith-Based Organizations: Framing the Debate

Author(s):

Dr. Lisa R. Berlinger, Program On Non-Profit Organizations, Yale University, North Haven, CT, USA

Description

Each of the papers in this panel focuses on the notion of accountability in faith-based organizations in the United States. The papers illuminate how the different perspectives of the parties involved have been glossed over in discussions that concern government funding for faith-based organizations. These discussions have overlooked the overall implications of accepting government funding such as how it might turn a congregation into a social service agency. On the other hand, the government has not considered how terminology does not easily translate from one religious tradition to the next. Although religious communities maintain seemingly comparable characteristics, there are a range of theologies, politics, and practices that change the relationship of the religious community to the government.

The author of the first paper, a practitioner who has expertise in both faith-based organizations and accounting and information systems models, approaches the topic of accountability from the position of the leaders of faith-based nonprofit organizations by using their language and concepts. Religious congregations have often preferred to focus on mission and to trust that the actions which result out of their motivations will benefit the greater good. Clergy and trustees have resented being questioned on what they considered personal, moral decisions, even when those decisions involved a great deal of money and many people's lives. This paper describes how the climate has changed, what demands religious leaders are facing for accountability, and what training is or is not currently available to students. The author of this paper frames the debate for leaders of faith-based nonprofit organizations in the United States, both religious congregations and other nonprofit organizations, in terms of the unwanted attention that they can receive and the damage that can be done to their credibility and even survival if they do not integrate their sense of religious mission, scripture, and theology alongside financial accountability.

The author of the second paper challenges the notion that accountability is viewed the same by those of different religious traditions in the United States. It focuses on the consequences of their various politics, theologies, and modes of engaging the world and the implications for how each frames accountability and mission. This paper mainly considers non-congregational faith-based nonprofit organizations and includes a historical examination of accountability mechanisms of major American religious groups.

The third paper addresses both congregation members and public policy leaders (many of whom are members of congregations). Since both groups are not asking critical questions, they do not have adequate information to make a decision about whether a congregation should be involved in government-funded-social service. The author draws on experience both in a religious denomination and as a religious practitioner.

The fourth author discusses the challenges posed by different frames of reference in various academic disciplines contributing to the policy debates on government funding of faith-based organizations. The addition of the frames of reference of clergy, theologically-trained academics, and public policy leaders, further complicates the discussion. Drawing on experiences during two long-term projects explicitly designed to facilitate accurate and meaningful conversations about concepts such as accountability and mission in faith-based organizations and a third project examining faith-based organizations and government funding, the presenter will discuss challenges faced and present a framework for beginning to talk about these differences.

Relevant Literature

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Davis, Dale. "A New Look for Theological Alumni Studies." *Journal of Ministry Marketing & Management*, v. 4, n. 2, 1999.

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Smith, L. Murphy and Jeffrey R. Miller. "An Internal Audit of a Church." *Internal Auditing*, Summer 1989.

Unlevel Playing Field: Barriers to Participation by Faith-Based and Community Organizations in Federal Social Service Programs. White House and Department of Justice Faith-Based and Community Initiatives Task Force, August 2001.

Wineburg, Bob. *A Limited Partnership: The Politics of Religion, Welfare, and Social Service*. New York: Columbia University Press, 2001.

Paper Number: PN022175.1

Paper Title: Nonprofit Accountability in Faith-Based Organizations: Implications for Philanthropy

Author(s):

Dr. Valerie Brown, Church Financial Management and Leadership Institute, Chesapeake, VA, USA

Summary of Research

This paper explores the internal and external forces that are driving the transformation of faith-based organizations' fiscal accountability and the issues they face as these organizations attempt to implement the necessary changes.

Description

For the majority of non-profit organizations, accountability issues as it relates to the financial affairs of the entity, have already come under scrutiny which has resulted in substantial changes in their practices. Nevertheless, for many faith-based organizations, especially churches, accountability and the resulting financial affairs are at the early stages of development. The data collected and used for this paper was obtained from a questionnaire created and given to three distinct groups. The questionnaire asked thirteen questions relating to financial affairs of the participant's church and/or churches of which they may be familiar. The results indicate that educating the congregation and pastor on basic financial management is of paramount concern. This paper explores the internal and external forces that are driving the transformation of faith-based organizations' fiscal accountability and the issues they face as these organizations attempt to implement the necessary changes.

Paper Number: PN022175.2

Paper Title: A House of Many Mansions: Varieties of Accountability in Faith-Based Organizations

Author(s):

Dr. Peter Dobkin Hall, Hauser Center for Nonprofit Organizations, Kennedy School of Government, Cam

Summary of Research

Description

Paper Number: PN022175.3

Paper Title: An Impossible Dream: Accountability for Religious Congregations Without Government Entanglement

Author(s):

Dr. Thomas Jeavons, Philadelphia Yearly Meeting, Philadelphia, PA, USA

Summary of Research

The presenter will explore the dilemmas created by the inadequate understanding of the difference between congregations and other faith-based organizations.

Description

While many current U.S. public policy leaders seem particularly interested in enticing religious congregations to get involved in offering government-funded social services, the accountability required by the federal government will be impossible to enforce without trampling on the mission of religious congregations. Policy leaders are attracted to the religious character of these congregations without realizing that most congregations do not have the structure and capacity necessary to provide accountability required by government contracts. In addition, many religious congregations are not willing to expose themselves to the entanglement with government that opening their books to government implies. Government officials do not seem to differentiate between the faith-based organizations that have successfully managed government social service contracts for decades by creating the internal capacity and structure (often a separate 501(c)3) required to meet the obligations of government contracts and small organizations lacking such sophistication and capacity. The presenter will explore the dilemmas created by the inadequate understanding of the difference between congregations and other faith-based organizations.

Paper Number: PN022175.4

Paper Title: Approaching Different Perspectives: Accountability, Mission and Faith-Based Organizations

Author(s):

Dr. Lisa R. Berlinger, Yale University, Program On Non-Profit Organizations, North Haven, CT, USA

Summary of Research

This paper draws on three long-term research projects that all included members of the clergy, researchers of faith-based organizations, and public policy makers; all addressed the issues of government funding of faith-based organizations, mission, and accountability; and all faced challenges of use of language, perspective of participants, and misunderstandings. Challenges and successes will be discussed and a framework for learning will be presented.

Description

Discussions of public policy involving faith-based nonprofit organizations are hampered by the massive ignorance about current and past public policy regarding religious organizations, the differences in perspective of the many constituents involved, and the use of similar-sounding, but different-meaning language. This paper draws on three long-term research projects that all included members of the clergy, researchers of faith-based organizations, and public policy makers; all addressed the issues of government funding of faith-based organizations, mission, and accountability; and all faced challenges of use of language, perspective of participants, and misunderstandings. Challenges and successes will be discussed and a framework for learning will be presented.

Paper Number: PA021571

Paper Title: Workplace Opportunity and Employee Growth in a Population of Nonprofit Human Service Organizations

Author(s):

Ms. Anna Haley-Lock, University of Chicago, Chicago, IL, USA

Summary of Research

This paper provides documentation of management practices related to employee compensation, skills development and hierarchical advancement in the universe of Chicago-area nonprofit organizations providing domestic violence services; and a multi-level analysis of the relationship between these management practices and workers' actual growth in their jobs, examined here as the extent to which workers are "plateaued." Theories of internal labor markets, social networks and career anchors are drawn upon to conceptualize the independent variables. The findings should yield insights for nonprofit managers about how jobs might be structured to offer employees more, and better-suited, forms of opportunity.

Description

The problem:

The central research questions of this dissertation study ask what role human resource practices play in workers' advancement in nonprofit social service settings; and to what extent workers' career orientations and social networks help or hinder their access to human resource offerings. The project, findings for which will be presented in this paper, has two components: first, documentation of management practices related to employee compensation, skills development and hierarchical advancement in the universe of Chicago-area nonprofit organizations providing domestic violence services; and second, analysis of the relationship between these management practices and workers' actual growth in their jobs, examined here as the extent to which workers are "plateaued."

Relation to existing literature:

In recent years, U.S. employers across a range of settings have been affected by constricting resource environments, organizational downsizings, the influx of baby boomers into management-level positions as well as workers' growing appreciation for balancing work and nonwork spheres. These phenomena have compelled managers across an array of organizational types to offer new forms of opportunity through creative approaches to compensation, skill development as well as traditional promotion.

This need is far from new for nonprofit social service organizations, which have long faced resource and size constraints that make provision of tradition "ladder climbing" opportunities difficult. But nonprofit social service organizations remain a rare focus of human resources research. This study moves toward filling the gap in knowledge about the provision and experience of workplace opportunity in nonprofit social service agencies.

Three literatures are used to conceptualize how opportunity is structured by organizations and accessed by workers: internal labor markets, social networks and career anchors. Internal labor markets are the human resource policies and practices that administrators establish to attract and retain workers and thereby reduce turnover. Social networks are the webs of ties between individuals that have been linked to members' entrée into various types of opportunity in and out of the workplace. And career anchors represent the orientations individuals form to work and career based upon self-perceived talents and past experience that may influence what opportunities they seek.

Approach:

Findings reported here are for original multilevel data collected from the universe of Chicago metropolitan agencies providing domestic violence services (all are not-for-profit). At each of the participating organizations (21 of 24) a head administrator was interviewed using a structured protocol addressing the topics of agency internal labor market structures and employee performance; and all workers were given self-administered surveys inquiring about their positions' opportunity structures, their

social networks, career orientations, sense of their own job performance, and demographic information. Staff sizes ranged from four to 80 for an employee universe of 701; the overall employee response rate was 68 percent (from 55 to 100 percent within organizations). Analyses use hierarchical linear modeling to distinguish the potentially unique contributions to job plateauing of organization-structured opportunities and worker social networks and career orientations.

Contributions:

In delivering new information about the diversity of ways workplace opportunity is structured by nonprofit managers and accessed by workers, this study should yield insights for nonprofit managers about how jobs might be structured to offer more, and better-suited, forms of opportunity. Such "levers" for change will be applicable for a generalizable segment of nonprofit workers as well as, more broadly, those at firms facing newer limitations to providing traditional hierarchical forms of workplace opportunity.

By being the first to test the theories of internal labor markets, social networks and career anchors in a single model and on a nonprofit population, this study builds upon our current understanding of the explanatory power of these perspectives generally and for nonprofits specifically.

Paper Number: PA021621

Paper Title: Capacity Building of Civil Society Organizations: Training of Human Resources in Nonprofit Organizations

Author(s):

Roby Senderowitsch, The World Bank, Washington, DC, USA

Mr. Andres Falconer, Brazilian Association for Leadership Development, Sao Paulo, SP, BRAZIL

Summary of Research

The purpose of this paper is to describe different models of training for nonprofit organizations and explore what models work better under different circumstances. The paper is built on a strong literature review and provides recommendations for the future of the sector.

Description

Introduction

During the last twenty years, the nonprofit sector has experienced an extraordinary revolution both in size and composition. The reduction of central governments and the increasing use of third party government mechanisms opened an opportunity for nonprofit organizations: the provision of human services. According to Lester Salamon and Helmut Anheier (1996:xvii), "Changing social and economic realities coupled with declining confidence in the capabilities of government have recently placed new demands on the thousands of private social service agencies, hospitals, health clinics, schools, universities, day care centers, development organizations, environmental groups, and others that comprise the private nonprofit, or voluntary, sector throughout the world." In this sense, nonprofits needed to become more dynamic organizations and had to include new styles of management. This re-conversion of the sector was, and still is, possible thanks to the development of human resources within the organizations and to the establishment of numerous graduate programs in nonprofit management.

People are one of the most important assets of an organization. People give the organization its particular character and manner of operation. Of all the factors an organization needs to operate, human resources are the most difficult to replace. This is also the case for nonprofit organizations. Referring to human resources, Nancy Day (1994:557) states, "Without them, the organization's goals cannot be achieved and its values cannot be enacted. As Louis Mayer, of Metro Goldwyn Mayer, said, 'The inventory goes home at night.' This is especially true for nonprofits."

The development of human resources in nonprofit organizations constitutes a key issue with which managers have to deal. Nonprofits base their operations mainly on personal knowledge of their staff and board members rather than on intensive capital investments. According to Peter Drucker (1992), a leader should not be intimidated by the resources of his or her organization. A leader surrounded by capable people seeking to obtain his or her position will have lower risks than a leader who works with mediocre people. In this sense, training is essential to achieve standards of excellence.

In response to the national and international trends described above and understanding that people are a key element in nonprofit organizations, various organizations and universities have created training courses for both nonprofit leaders and managers during the last decade. The purpose of this paper is to describe different models of training for nonprofit organizations and explore what models work better under different circumstances. The paper is built on a strong literature review and provides recommendations for the future of the sector.

The paper revisits different learning theories. Learning theories are at the core of any instructional model. As Knowles (1984:64) points out, "Theories of learning are of use only to laboratory scientists unless they are applied somehow to the facilitation of learning." The paper analyzes five main learning theories or orientations: behaviorism, cognitivism, humanism, social learning, and constructivism. These theories were described based on seven categories of analysis: the learning process, the purpose of education,

the role of the teacher, the role of the group, the nature of the knowledge, the style of instructional materials, and the implications of the model for adult training courses. Teaching theories and instructional models are based on these learning theories. Each of the approaches characterizes the learning process in a different way. Moreover, each of them seems to provide a good understanding of how individuals learn different types of content. First, behaviorism seems to give a good framework for teaching basic behaviors and skills. Second, cognitivism provides a good approach for teaching concepts and categorizations. Third, humanism best develops individuals' potentialities based on their own needs. Fourth, social learning constitutes a good model for modifying social behavior and teaching professional skills. Finally, constructivism explains how to develop analytical skills and critical thinking.

In a period of social transformation, when civil society organizations are called to provide services to address the needs of a demanding population, investing in human resources development is a priority. When Lester Salamon refers to the "Myth of the Sacred Conception," he refers to the false assumption according to which the third sector has been created spontaneously during the last decade. In contrast, although the sector gained high visibility in the last years, it has a long tradition and centuries of existence. The same principle applies for the hundred of thousands of people who work in nonprofit organizations both professionally and voluntarily. A large vivid experience exists in the sector. Any attempt to develop the existent human resources - and new ones - must include the existing experience of the people involved in the sector.

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Paper Number: PA021642

Paper Title: Black Artists, Black Arts, Black Administrators: "Oh Brother Where Art Thou?"

Author(s):

Mr. Keith D. Lee, Ohio State University, Columbus, OH, USA

Summary of Research

This is a panel proposal for a discussion/ workshop format about the participation of African American and other ethnic minorities in the arts. The discussion continues a dialogue based on a paper presented at the Social Theory, Politics, and the Arts Conference 2001 entitled "In Plain Sight, The Selection, Recruitment, and Education of Arts Administrators and Arts Faculty of Color and Ethnicity."

Description

This panel proposal is a continuation of dialogue linked to a presentation at the Social Theory, Politics, and the Arts Conference 2001 entitled In Plain Sight, The Selection, Recruitment, and Education of Arts Administrators and Arts Faculty of Color and Ethnicity. The intent is to create a dialogue with panel participants and audience in workshop format to address issues linked to the recruitment, selection, and education of ethnic minorities as arts administrators and teaching professional in the Arts and Arts related studies like Art History, Theatre, Museum Studies, and Arts Education. Though the title focus is African American in nature, the panel will discuss an broad view of racial and ethnic relationships in professional arts, community arts, and academic arts arenas. Two to three panelists will briefly present summation of their papers and/or ideas. The majority of time will be allotted towards the creation of dialogue between artists, administrators, and arts educators with the panelists.

"In Plain Sight" abstract reads: Tenets that form relationships between selection, recruitment and education of people of color and ethnicity are multiple and interwoven. The complexity of concerns and rationales are linked to social and organizational behaviors that are closely linked to human resource management. In essence, selection, recruitment and education of employees, managers, and volunteers are human resource management concerns that the Arts and Not for Profit (ANFP) community primarily ignores as its administrators continue to research and to explore potential areas for develop and growth. This paper will highlight the complexities involved with selection, recruitment, and education of personnel for an Arts industry with particular foci on ethnic minorities. It also highlight a preoccupation of the nonprofit community to focus on audience development and diversity without a similar focus on changing systemic infrastructures that affect internal composition of staff, volunteers, managers, and faculty and arts administration practices. This paper will additionally inform the Arts arena about potential areas for more research and for targeted recruitment efforts designed to attract ethnic minorities in grassroots and community service organizations. As administrators in the Arts continue to focus on audience development rather than on, or in addition to, human resource development for an ANFP labor force, the Arts arena and not for profit communities will continue to experience problems associated with racial, gender, and philosophical bias linked to management in arts administration and philanthropic associations. In many instances, the Arts Arena attempts to define culture and/or cultural policies without first recognizes that ethnicity, race, and gender affects one's view and practice as related to policy development. Simply stated: neither cultural policy nor organizational policy can be established equitably if practices associated with race, ethnicity, and gender are not reconstructed first by ANFP organizations and policy making institutions and associations.

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Paper Number: PA021383

Paper Title: The Challenge of Sustainability in the Third Sector--The Case of AIDS NGOs

Author(s):

Professor Luiz Carlos Merege, Getulio Vargas Foundation, Sao Paulo, Brazil

Summary of Research

The paper will describe this unique experience of a partnership between professors of a university, a governmental agency and a leading Brazilian NGO in order to stimulate a new and professional relationship between NGOs and its communities. This program had as main objective to provide technical management tools for the NGOs in order to guarantee a sustainable development for them. The educational program emphasized the need of a greater involvement of the NGOs with their communities, with a goal to build a sustainable strategy based also in local support.

Description

The Brazilian Health program to prevent the dissemination of HIV/AIDS was recognized by UN as a model of success to be followed by others nations. The program has as key element the community's mobilization trough the action of local NGOs and about 900 organizations has been participating in the program throughout the country. They are organized in networks, which constitutes a respectable political power. Because of this power this program is also mentioned as an example of collective control of public policy.

The political pressure over the Brazilian government, under the argument that health is a human right of every citizen, resulted in two revolutionary decision: a) the free distribution of medicine to all citizen infected by the HIV virus and b) the break of medicines patents and the industrialization of medicines by government laboratories.

World Bank and the Brazilian Government in the last four years financed the program. However the program became victim of its success. Last year the World Bank decided to drastically reduce its financial contribution to the program in order to invest in new similar programs in Africa, were the epidemic seems to be out of control. About 95% of the NGOs budget in the Brazilian program come from that partnership between the World Bank and the Brazilian Government.

In order to prepare the NGOs for this radical change in their sources of financial resources, a cooperation educational program, between university professors, a leading HIV/AIDS NGO and the Government, was established for the NGO's leaders. This program had as main objective to provide technical management tools for the NGOs in order to guarantee a sustainable development for them. The educational program emphasized the need of a greater involvement of the NGOs with their communities, with a goal to build a sustainable strategy based also in local support instead of being totally financially dependent from the central government.

The paper will describe this unique experience of a partnership between professors of a university, a governmental agency and a leading Brazilian NGO in order to stimulate a new and professional relationship between NGOs and its communities. This experience had been cited as an example of how theory can be linked to practice, through partnership between key social actors. The organizations had to present a strategic organizational plan and as part of it an alternative plan for fund raising at the local communities. From 180 organization that participated in the program, 120 had their plan selected and for this reason a small grant was given to them as capital seed to implement the changes proposed.

Community mobilization

- Collective Control
- Academy and Practitioners
- Partnership
- Sustainable organizations
- Nonprofit management
- Fund raising
- Autonomy and dependency
- Strategic plan

- Government and civil society
- Government, academy my and civil society
- NGOs and Community

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Paper Number: PA021424

Paper Title: After September 11, Now What: The Role of Volunteers and Nonprofit Agencies in Emergency Response in the Midsouth

Author(s):

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Dr. Dorothy Norris-Tirrell, The University of Memphis, Memphis, TN, USA

Summary of Research

In response to various emergencies, such as natural disasters, chemical spills, and the new reality of terrorism, interagency collaborations including a range of nonprofit organizations have taken on new importance.

□ Through a series of interviews, document review, and a Delphi process, we explore the role of nonprofit agencies in enhancing the emergency preparedness of the Midsouth in the wake of September 11 and the range of natural and manmade disasters that could impact our region.

Description

In response to various emergencies, such as natural disasters, chemical spills, and the new reality of terrorism, interagency collaborations including a range of nonprofit organizations have taken on new importance. These collaborations are vehicles to assure community-based emergency preparedness planning and to establish the necessary communication networks for optimal response, particularly the effective mobilization of volunteers. Whether addressing domestic security, earthquake preparedness, or toxic chemical spills, nonprofit agencies and their government collaborative partners have sought to develop more efficient networks to serve the community in times of extreme stress.

□ This study explores the current and future role of nonprofit agencies in the collaborative response to emergencies in the Midsouth. Employing the literature on interagency collaboration developed by Eugene Bardach, the Amherst H. Wilder Foundation, Myrna Mandel and others, we attempt to link issues of voluntarism, collaborative capacity, and emergency preparedness to develop a model to enhance the effectiveness of nonprofit agencies in community emergency response planning. Essential elements of collaboration such as vision and relationships; structure, responsibilities, and communication; authority and accountability; resources and rewards are assessed.

□ Through a series of interviews, document review, and a Delphi process, we explore the role of nonprofit agencies in enhancing the emergency preparedness of the Midsouth in the wake of September 11 and the range of natural and manmade disasters that could impact our region. How will organizations communicate? How will volunteers be trained and deployed to maximize their effectiveness, make best use of "survivor guilt," and fill identified gaps in service? What are the existing strategies, what are the proposed plans, and what is the ideal role for nonprofit agencies in this addressing this vital community need?

□ This study will aid in the development of more effective interagency collaborations focused on emergency preparedness and response, particularly focused on the best use of nonprofit and volunteer resources working with various government partners.

Paper Number: PA021660

Paper Title: Joining Forces, Fortunes and Futures: Restructuring and Adaptation in Nonprofit Hospice Organizations

Author(s):

Julie Pietroburgo, St. Louis University, St. Louis, MO, USA

Summary of Research

This study critically examines the restructuring phenomenon in the nonprofit sector through the examination of trends in hospice organizations. Drawing on political economy, selection and adaptation theory, the study considers the internal and external political and economic forces, as well as the decision-making styles of organizations, that impact on the restructuring decisions hospices make. A survey of 115 hospice organizations in six states and interviews with nine executive directors provide findings regarding why, how and in what manner hospices restructure (integrate, forge alliances or form collaborations,) as well as the outcomes of such actions.

Description

Joining Forces, Fortunes and Futures:
Restructuring and Adaptation In Nonprofit Hospice Organizations
Julie Pietroburgo, Doctoral Candidate
Saint Louis University
3663 Lindell Boulevard
St. Louis, Missouri 63108-3342

□ In an era of government devolution, increased competition and greater demand for social services, many nonprofit organizations are finding existing bases of intangible and tangible resources insufficient to fulfill their service missions. As they seek to stretch shrinking resources and remain viable, these organizations often consider various reorganization options, including integrations and the formation of alliances and collaborations.

□ This study critically examines the restructuring phenomenon in the nonprofit sector through the examination of trends in hospice organizations. Three bodies of theory inform the study. Political economy provides a framework for analyzing the interrelationship of internal and external political and economic factors underlying restructuring decisions and facilitates comparative analyses of organizations that do and do not choose to restructure. Selection theory provides a theoretical basis for examining an organization's capacity to change itself in response to altered environmental conditions. Finally, adaptation theory focuses on the importance of managerial action in accommodating changing environmental contingencies. Through use of both political economy and institutional theory, the study examines the variety of internal and external forces that facilitate or obstruct consolidation and restructuring efforts. Previous ARNOVA presentations by the researcher proposed use of an integrated theoretical framework for examining nonprofit restructuring. This paper and presentation now offer the results of the 15-month study that employed the integrated framework.

Using nonprofit hospice organizations in six mid-western states as the sampling frame, the extant study was quasi-experimental and mixed methods in approach. A cross-sectional survey design assessed factors contributing to decisions regarding restructuring and the decision-making models employed by organizations considering such actions. Semi-structured and open-ended interviews and document review provided additional qualitative data regarding environmental factors and restructuring decisions. Of the 232 hospice organizations which received study surveys, 115 (49.6%) returned the survey instruments. Follow-up interviews were conducted with the board and management personnel of nine hospice organizations.

Five research questions were posed in this study:

1. Why do nonprofit organizations restructure?
2. How do nonprofit organizations restructure?

3. What is the incidence and form of restructuring?
4. What are the operational impacts of nonprofit restructuring?
5. How do organizations that choose to restructure differ from those that do not?

Among the findings of this research were the identification of demographic characteristics that are predictive of an organization's decision to restructure and the form of restructuring undertaken; the significance of specific factors in an organization's internal polity which serve as obstacles to nonprofit restructuring; the dichotomy between board and executive director decision-making styles in facing restructuring decisions; and the variations in status of organizations before and after the three different forms of restructuring (integration, alliance and collaboration).

The study suggests that the various restructuring options offer different benefits to nonprofit organizations. Integrations were viewed as business decisions often driven by factors in the internal economy (financial imperative and operating efficiency) and pursued by organizations with distinct organizational profiles and objectives. On the other hand, collaborations and alliances were favored as means for organizations to hold on to their distinct missions and identities and motivated by factors in the external economy (to increase agency visibility, attract new referral sources and expand service offerings). While decision-making styles did not differ based on whether or not organizations engaged in restructuring, differences between board and executive director decision-making styles were apparent with executive directors ranking higher in their adaptive style than boards.

This study seeks to build upon the emergent knowledge base of organization theories as they relate to the specific organization type of nonprofit entities. To the extent that restructuring patterns can be identified and described, this information is useful for further developing an understanding of how and why nonprofit organizations restructure when confronted by external and internal forces, as well as the factors which impede such actions. The research also may contribute to a broader understanding of how the nonprofit sector differs from the for-profit world in the manner in which it approaches and acts on restructuring opportunities. This information can aid in generating hypotheses for future research.

Further, this study may be useful to those engaged in managing nonprofit organizations. Nonprofit managers who are contemplating restructuring as a way of reinforcing agency viability may benefit from the findings of this research. Understanding the obstacles, benefits, drawbacks and typical parameters of nonprofit restructuring may be constructive in assessing a given organization's potential for success in restructuring efforts.

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Paper Number: PA021673

Paper Title: Learning to Serve: A Study of the United Way of Acadiana and its Shift into Peter Senge's Systems Thinking Paradigm of Organizational Learning

Author(s):

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Summary of Research

This paper focuses on the transformation of the United Way of Acadiana (Lafayette, Louisiana), a social-service nonprofit organization, into an organization based on Peter Senge's systems thinking paradigm of organizational learning. Multiple methodologies (participant observation, surveys, and in-depth interviews) were used to outline the strengths and weaknesses of the group paradigm shift. Organizational learning theory served as the foundation of the paper's argument.

Description

This study investigated a social-service nonprofit organization, the United Way of Acadiana (Lafayette, Louisiana), and its adaptation into the systems thinking paradigm of organizational learning. In his book, *The Fifth Discipline: The Art and Practice of the Learning Organization* (1990), Peter Senge states that learning organizations are entities "where people continually expand their capacity to create the results they truly desire, where new and expansive patterns of thinking are nurtured, where collective aspiration is set free, and where people are continually learning how to learn together."

Multiple methodologies were used to collect data for this study. Participant observation provided anecdotal information about the organization. In-depth interviews with the entire staff of the United Way gathered specific information about the learning opportunities and styles within the organization.

Four research questions and one hypothesis were posed in the study. The research questions focused on the knowledge of subsystems within the organizational environment, the awareness of future organizational change, and the opportunities to learn within the United Way of Acadiana. The hypothesis stated that the employees of the United Way of Acadiana would see the organization as a learning organization. The hypothesis was supported from the data gathered.

This paper will expand on the literature of change, strategy, and management by highlighting ways that nonprofit organizations can incorporate the organizational learning paradigm.

Paper Number: PA021252

Paper Title: The Impact of 9/11 in New York City: Temporary Setback or New Trajectory?

Author(s):

Professor Julian Wolpert, Princeton University, Princeton, NJ, USA

Professor John E Seley, The New York City Nonprofits Project, New York, NY, USA

Summary of Research

The issue addressed in this paper concerns the impact of the WTC disaster on NYC's nonprofit sector. Major catastrophes and similar shocks to urban well-being can be expected to have both short and long-run impacts on the local nonprofit sector made more complex by structural changes taking place in the economies of cities that host nonprofit organizations. This paper uses baseline information on NYC's nonprofit sector just prior to the WTC tragedy to provide an inventory of longer-run forces and challenges affecting the sector and its niche in the City's economy.

Description

1. The issue addressed in this paper concerns the impact of the WTC disaster on NYC's nonprofit sector. Major catastrophes, such as the events of 9/11 in NYC, but also the Oklahoma City bombing, the collapse of Enron in Houston, and similar shocks to urban well-being can be expected to have both short and long-run impacts on the local nonprofit sector. Furthermore, the longer-run impacts are generally embedded in a complex web of structural changes taking place in the economies of cities that host nonprofit organizations. This paper focuses on the use of baseline information on NYC's nonprofit sector just prior to the WTC tragedy to provide an inventory of longer-run forces and challenges affecting the sector and its niche in the City's economy. These baseline trends will then be used to explore a number of scenarios of likely long-run impacts of the 9/11 events and their aftermath.
2. Unfortunately, the analysis of the nonprofit sector at the urban or metropolitan level is in its infancy, especially with respect to issues of economic niche and impact. A number of thus far unpublished papers and reports have begun to appear about 9/11 impacts but they lack baseline data about the sector and context information about general trends in the NYC economy and its nonprofit sector.
3. The paper builds upon data from a recently completed survey and analysis of NYC's nonprofit sector. This study updates a 1990 analysis and is based upon IRS 990 and 990-PF financial information and more than 3,000 survey responses. The survey probes a number of high priority policy issues, including: employment; volunteers; revenue concerns; affordability of space for facilities, etc. These data files about NYC's more than 27,000 nonprofit organizations are supplemented by 2000 Census information, data on foundation grants to NYC nonprofits, and employment and financial data relating to the City's economy.
4. The expected contribution of this work will be greater understanding of: the vital and changing role of nonprofits in the economy and labor force of the nation's largest city; and the short-term and potential longer-range effects of a major shock to the city and its nonprofit sector

Paper Number: PA021378

Paper Title: Searching for the Factors Influencing the Size of Nonprofits: An Empirical Analysis with the U.S. State Level Panel Data

Author(s):

Mr. Yoshiho Matsunaga, Osaka University, Ikeda City, Osaka, Japan

Dr. Naoto Yamauchi, Osaka University, Toyonaka, Osaka, JAPAN

Summary of Research

What factors affect the size of nonprofits? This question has gained increasing importance among nonprofit researchers, nonprofit managers, and policy makers, and is likely to continue its rise to prominence in the coming year. According to the preceding literature, typical theories that help to answer this question are demand-side theory including heterogeneity theory, supply-side theory, and social cohesions theory. This paper, econometrically, searches for rational explanations for the different size of nonprofits among 50 states in the US. We also introduce a unique and feasible explanatory variable, namely the weather disaster dummy variable as a proxy for social cohesions.

Description

1. The problem or issues to be addressed

Our goal for this research is to examine the statistical significance of typical determinants of the growing nonprofit size using the U.S. state level panel data. We test the heterogeneity theory, demand-side theory, supply-side theory, and other relevant theory that may explain a change in the size of nonprofits.

2. The topic's relation to the state of knowledge in the field (including relevant literature)

There are significant numbers of papers on this issue. Some of representative pieces of literature are summarized below, and show that this issue is receiving much researcher's attention.

Corbin (1999) A Study of factors in influencing the growth of nonprofits in social services, *Nonprofit and voluntary Sector Quarterly*, 28, pp.296-314.

□@

Ben-Ner and Van Hoomissen (1992) An Empirical Investigation of the Joint Determination of the Size of the For-profit, Nonprofit and Government Sectors, *Annals of Public and Cooperative Economics*, 63, pp.391-415.

□@

Salamon, Sokolowski, and Anheier (2000) Social Origins of Civil Society: An Overview, Working Papers of the Johns Hopkins Comparative Nonprofit Sector Project.

Gronbjerg and Paarlberg (2001) Bandwagon or Band-Aid? A Model of Nonprofit Incorporation by State, *Nonprofit and voluntary Sector Quarterly*, 27 (3), pp.300-322.

□@

Abzug and Turnheim (1998) Community Variations in the Size and Scope of the Nonprofit Sector: Theory and Preliminary Findings, *Nonprofit and Voluntary Sector Quarterly*, 30 (4), pp.684-706. □@

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Marcuello (1998) Determinants of the Non-profit Sector Size: An Empirical Analysis in Spain, *Annals of Public Cooperative Economics* 69 (2), pp.175-192.

3. The approach we will take (including data sources)

We use the U.S. state level panel data. First of all, with all conceivable explanatory variables that are supported by demand-side theory, supply-side theory, and social cohesions theory, we estimate basic economic models with panel data, and then execute a statistical testing of the choice of models. Second, we carry out data mining of the basic models in order to find the most suitable model that explains the expanding size of nonprofits. Third, for some explanatory variables with statistically significant, we present rational explanations for the signs of these variables referring demand-side theory, supply-side theory, and social cohesions theory. Some data sources for our research are

listed below.

Data Sources

A dependent variable

Number of nonprofits: The Core Files, Urban Institute.

Explanatory variables

Crime Rate:

Bureau of Justice Statistics - Data Online, (<http://www.ojp.usdoj.gov/bjs>) 2/28/2002.

Weather Disaster:

National Climatic Data Center, A Climatology of Recent Extreme Weather and Climate Events, (<http://www.ncdc.noaa.gov/ol/reports/billionz.html>) 2/22/2002.

Population by age groups:

Population Estimates for the U.S., Regions, and States by Selected Age Groups and Sex, U.S. Census Bureau, (<http://eire.census.gov/popest/archives/1990.php#state>). In order to calculate entropy Index as the age heterogeneity, see White(1986) Segregation and diversity measures in population distribution, Population Index 52 (2), pp.198-221.

Poverty Rate:

Population Estimates for the U.S., Regions, and States by Selected Age Groups and Sex: Historical Poverty Tables, Number of Poor and Poverty Rate, by State: 1980-2000.

Population by race:

1990 to 1999 Annual Time Series of State Population Estimates Race and Hispanic Origin, U.S. Census Bureau, (<http://eire.census.gov/popest/archives/1990.php#state>), In order to calculate entropy Index as the age heterogeneity, see White(1986) Segregation and diversity measures in population distribution, Population Index 52 (2), pp.198-221.

Unemployment rate:

Local Area Unemployment Statistics, Bureau of Labor Statistics, (<http://www.bls.gov/lau/>) 1/24/2002.

Real local and state government direct general expenditure:

State & Local Government Finances by Level of Government, U.S. Census Bureau, (<http://www.census.gov/govs/www/state.html>) 1/5/2002.

Educational Attainment:

Educational Attainment of the Population 25 years and Over, by State,
<http://www.census.gov/population/www/socdemo/educ-attn.html>

State population:

State Population Estimates: Annual Time Series, July 1, 1990 to July 1, 1999, (<http://www.census.gov/population/estimates/state/st-99-3.txt>) 1/31/2002.

4. The contribution to the field

There are four major contributions. First, if our data shows a fixed effect model, it means that each state has a unique intercept, thereby supporting the heterogeneity theory of the nonprofit expansion. On the other hand, if our data supports a random effect model, it means that there exist heteroschedastic error terms, thereby supporting heterogeneity theory in other form. In short, fixed effects or random effects can control unobservable heterogeneity in each state.

Second, if our data support a fixed effect model or a random effect model (and reject classical

regression model), our research should be a grave warning for the econometric analysis of any precedent literature examining the determinants of the nonprofit expansion due to their specification errors.

Third, as the preceding literature, we can test if the government is a partner of nonprofits or a competitor of nonprofits when they supply public goods.

Forth, we are going to test the explanatory power of the new variable, namely a weather disaster variable. We expect that it has an explanatory power and coefficient of that variable is positive because disasters allegedly accelerate social cohesion of victims and their neighbors, thereby stimulating the establishment of nonprofit organization to support victims of that disaster.

Paper Number: PA021406

Paper Title: An Evaluation of a "Top-Down, Bottom-Up Methodology" Used to Construct a Database of California Arts Organizations.

Author(s):

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

Summary of Research

The proposed paper evaluates the adequacy of a database of California arts organizations. The database was created by a "top-down, bottom-up" methodology, using both official sources such as the IRS Masterfile and less structured means such as street surveys, key informant interviews and phone books. A 1000 organization sample was drawn from the database in order to evaluate the number and types of organizations that would not be found using formal sources, the validity of the methodology and the extent of decay in usable addresses over a two-year period.

Description

There exists general agreement that formal sources for identifying nonprofit organizations miss a considerable part of the sector, excluding smaller and newer organizations in particular. The work of researchers such as Gronberg, (1989, 2001), Dale (1993), Smith (1997) or Chavez, et al. (1999) show that as minimum 40 percent of organizations may be missed if researchers rely only on, for example, Internal Revenue Service Form Masterfile listings.

For this reason, there are a number of attempts underway to expand our registries of nonprofits by use of methodologies other than reliance on IRS files. This paper reports on a methodological evaluation of one such attempt.

In 1997 the Institute for Nonprofit Organization Management compiled a database of organizations affiliated in some way with the arts using a wide variety of methodologies, and combining formal registries of organizations with more informal means. Under the guidance of Dr. Richard Orend, the study attempted to compile a census of organizations in 29 counties, of California. Records identifying arts, cultural and historical organizations were first extracted from the Internal Revenue Service Masterfiles and the California State Attorney General's Registry of Charitable Trust. These records were augmented with membership directories for such organizations as the California League of Symphonies. Then research assistants, in some cases familiar with the arts and in others not, were assigned individual counties. Using key informant interviews, telephone book searches, perusal of newspapers advertisements, street surveys and other methodologies, a database of nonprofit, for profit and public organizations was compiled. Researchers were asked to code the organizational purpose and primary discipline of the organization.

The data were then screened to eliminate duplicate organizations. After screening, the final database included 12,077 organizations.

While we are correctly concerned about more accurately ascertaining the dimensions of the nonprofit sector, any non-traditional methodology poses its own risks. The quality of the data, itself, becomes a matter of question. Secondly, capturing smaller organizations increases the likelihood that any database will become rapidly outdated; as with any listing of organizations that is not consistently updated and maintained, it is to be expected that some unknown number of organizations have gone out of business or have moved and the forwarding order has expired.

In order to test the quality of the database, INOM decided to conduct a survey of a sample of 1000 organizations, drawn from the listing of arts organizations. Surveys were mailed to the original address in the database. For those that were returned because of invalid addresses or expired forwarding addresses, searches were made to locate the new address. When successful, the survey was resent. In all, we obtained a 61 percent response rate for those organizations where we had, or were able to find, a valid address. This yielded a final sample size of 482 organizations.

Based on survey findings we ask the following questions:

A. What percent of the sample does not come from the traditional federal and state listings of organization? Are particular types of nonprofit organizations less likely to be found in such listings?

B. What percent of the addresses are currently valid?

C. Are organizations found by nontraditional means more likely to have invalid addresses?

D. How many of the organizations feel themselves misclassified as having anything to do with the arts or humanities?

F. How closely do researchers' classification of organizational purpose and primary discipline correspond to those of a representative of the organization?

The results add to our growing literature on how to augment traditional sources of information about nonprofit organizations.

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Paper Number: PA021462

Paper Title: Knowledge for Practice: The Meaning and Measurement of Collaboration

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Summary of Research

This paper presents findings from a study that develops and tests the construct validity of a multi-dimensional model of collaboration using covariance structure modeling and primary data collected through a mail questionnaire sent to a national sample of 1382 organization directors. The model that emerges from this analysis demonstrates an overall close fit with the empirical data and is used to evaluate collaboration processes and outcomes. We conclude with a discussion of the implications of these findings for building theory and improving collaboration practice.

Description

ARNOVA CONFERENCE ABSTRACT

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KNOWLEDGE FOR PRACTICE:
THE MEANING AND MEASURE OF COLLABORATION

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Key Words: Collaboration, construct validity, collaboration processes / outcomes, applied heuristics, covariance structure modeling, multi-dimensional model

PROBLEM TO BE ADDRESSED / STATE OF KNOWLEDGE IN THE FIELD

This paper addresses the lack of consensus among scholars and practitioners on the meaning of collaboration and the lack of systematic attention to measurement. The literature on collaboration is vast, multi-disciplinary, lacking cohesion and fertilization across disciplines. The wide range of theoretical perspectives on the subject spans diverse literatures yielding multiple conceptualizations that give collaboration research its richness, but often at the expense of rigorous empirical inquiry. Confusion in

the literature abounds as to whether collaboration is an antecedent, process, or outcome variable. Furthermore, because of the lack of consensus among scholars on the meaning of collaboration, it is difficult to compare findings across case studies and to know whether what a researcher measures as collaboration, really is collaboration.

□Practitioners face an equally confusing landscape. Funders, private and public, increasingly require organizations to demonstrate collaborative relationships under an assumption that collaborating in a networked environment is better for achieving complex policy goals than not collaborating.

Collaboration is often assumed as one way to efficiently allocate scarce resources while building community through the strengthening of inter-organizational ties. Case research suggests, however, that practitioners in this environment face significant collective action problems that undermine their potential for building collaborative relationships (Thomson and Perry, 1998). Different accountability standards across organizations often have the ironic effect of straining already tenuous collaborative efforts.

Furthermore, widespread and varied usage of the term renders it nearly meaningless (except as a way to please funders on paper). One practitioner described it this way: "I feel collaboration is a buzzword, like 'working smarter' [and] 'cost-effective.' Unless further defined, the words are meaningless without specifying what can be implemented and what can be measured."

□The elemental blocks of theory building rest on commonly accepted definitions of a phenomenon and the validity of measures used to empirically examine that phenomenon (Carmines and Zeller, 1983; Wood and Gray, 1991). This theoretical focus has direct implications for evaluation of collaborative arrangements in practice. An empirically validated theory of collaboration, one that can inform both theory and practice, demands a systematic approach towards understanding the meaning and measurement of collaboration. Without a more systematic approach, inferences about collaboration will depend on which theoretical perspective one takes. This, in turn, makes theory building difficult and evaluation of collaborative arrangements reliant on inconsistent subjective judgments of evaluators.

APPROACH

□This paper presents findings from a study that develops and tests the construct validity of a multi-dimensional model of collaboration rooted in a comprehensive review of the literature, analysis of multiple definitions of collaboration, and field work. Primary data collected through a mail questionnaire sent to 1382 directors of organizations that participate in a large national service program provide the basis for a higher-order confirmatory factor analysis using covariance structure modeling (final n = 440). The model that emerges from this analysis demonstrates an overall close fit with the empirical data and the high, standardized gamma coefficients estimated in the model confirm that five key dimensions contribute to an overall construct of collaboration.

□We conceive of this model as an "applied heuristic" (Lynn, 1996) that can be used to inform the practice of collaboration. We first demonstrate how this model can be used to evaluate collaboration processes. By computing latent variable scores for each of the 440 cases in the sample, organizations that participate in collaborative arrangements may identify where they fall on five key dimension scales and an overall collaboration scale. By more closely comparing where they fall on these scales relative to the mean of the sample, partner organizations can target areas that may need re-evaluation.

□We then demonstrate how this model can be used to evaluate collaboration outcomes. Five covariance structure models are specified and estimated using a 17-indicator multi-dimensional collaboration scale and five outcome variables to test two propositions about the relationship between the process and perceived outcomes of collaboration (Thomson, 2001; Gray, 2000). Findings from this analysis raise some interesting and thought-provoking questions about the role of enlightened self interest in collaborative arrangements.

CONTRIBUTION TO THE FIELD

□□

□Findings presented in this paper are meant to challenge scholars in the field of collaboration research to take theory building seriously. As a contribution to the overarching issues of meaning and measurement, the findings presented here may help to establish consensus on the meaning of the field's central construct, collaboration. Furthermore, few empirically tested models of collaboration currently exist in the field. The multi-dimensional model of collaboration presented here represents one such model. Scholars are encouraged to build on these findings. In the interests of theory building, this

should include (1) refining and testing the model on other independent samples and in different problem and policy domains, and (2) using the model to empirically test (with large samples) the many hypotheses already generated by the rich case research in this field.

□ Findings presented in this paper also help practitioners. In an environment increasingly characterized by complex inter-organizational relationships, practitioners could benefit from having a clearer understanding of collaboration rooted in systematic empirical research. Though collaboration is frequently viewed as a meaningless concept, it is nevertheless a persistent one, with rhetorical appeal. The conceptual model of collaboration (with its five key dimensions operationalized on a questionnaire) holds the potential to make that rhetoric more concrete. Together, this model and the questionnaire can be used in a number of ways: (1) as a diagnostic tool for thoughtful practitioners interested in improving collaborative practices, (2) as an evaluation tool for assessing the extent to which collaboration may or may not exist, (3) as a conceptual tool for reaching common understandings about collaboration, and (4) as a self-reflection tool for building inter-organizational relationships. Several organizational directors in the sample, for example, voluntarily and independently asked if they could use the questionnaire with their partners in retreat settings. Furthermore, of the 440 respondents, 84 percent requested a summary of the findings and 78 percent requested a copy of the questionnaire to use with their collaboration partners. These percentages suggest practitioners value and desire empirical studies of this sort. A commonly agreed upon definition of collaboration with statistically valid indicators of key dimensions could benefit nonprofits and funding institutions by objectifying the meaning of the term. Clarification of the meaning of collaboration can only contribute to our nascent understanding of how to govern and manage in an increasingly networked world.

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Paper Number: PA021442

Paper Title: Bridging the Perception Gap: Comparing the Work Climates of Nonprofit and Public Human Service Agencies

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Summary of Research

Nonprofit human service agencies are perceived as treating workers with more dignity, having less difficulty in recruiting, developing, and retaining staff, and being more culturally competent than public agencies. However, there is no empirical evidence for these perceptions. This paper fills the gap by comparing 250 nonprofit and public agencies. Results show that nonprofits were more likely than public agencies to treat workers with dignity. Both nonprofit and public agencies experienced problems with recruiting and retaining staff, and engaged in basic diversity activities rather than strategies to create robust diversity climates. Discussion focuses on perceptions and implications for managers.

Description

Key words: empowerment, work climate, diversity culture, human services management

Nonprofit and public agency managers are exhorted to facilitate empowerment, multiculturalism and collaboration in their agencies and communities (Gutierrez, GlenMaye & DeLois, 1995; Martin, 2000; Shin & McClomb, 1998; Vinokur-Kaplan, 1996). While the human service literature discusses broadly the empowerment of clients and consumers, research has documented problems in human service agencies regarding the treatment of workers and the ability to attract and retain competent staff (Cohen, 1992; Ellett & Ellett, 1996). Staff stress, burnout, alienation, low morale, and staff competency remain chronic concerns within agencies (Adams and Perlmutter, 1995; Koeske & Koeske, 2000). As with client populations, there is also greater gender, race and age diversity in the service workforce, demanding new models of staff relations (Asamoah, 1995).

Convention holds that workers in the private, nonprofit sector are treated with more dignity and respect than workers in public agencies, and that nonprofit agencies have less difficulty in recruiting, developing, and retaining competent staff. Nonprofit human service agencies are also perceived to be more responsive in creating culturally pluralistic work climates. However, empirically, there has been little evidence for the perceived gap between nonprofit and public human service agencies' performance related to the empowerment/dignity of workers, retention and development of staff, and diversity climate. This paper fills the empirical gap by comparing nonprofit and public human service agencies in the mid-Atlantic region.

Data are from organizational assessments of 250 human service agencies, 55% nonprofit and 45% public. A scale of worker dignity/empowerment (Locke, Garrison, & Winship, 1998) was administered to staff. Diversity audits were conducted as part of broader organizational assessments. Interviews with agency managers identified the extent of particular staffing challenges.

The results show that nonprofit human service agencies were significantly ($p < .05$) more likely than public agencies to empower workers and treat them with dignity and respect. For example, workers in nonprofit agencies feel more supported in their roles, more respected by coworkers, and more valued in decision making than workers in public agencies. Both nonprofit and public human service agencies experienced equally significant problems with recruiting and retaining direct service staff. Staff in both types of agencies perceived that agency administrators failed to retain workers once staff vacancies were filled. However, public agencies (65.9%) reported engaging in significantly ($p < .01$) more staff development than private agencies (46.5%). Staff morale was identified more often ($p = .01$) as a problem in public human service agencies (44%) than in nonprofit agencies (27%). Additionally, excessive client demand coupled with complex client problems was more prevalent ($p < .01$) in public agencies than in nonprofit agencies.

While nonprofit human service agencies appeared to engage in more ($p < .01$) cultural competence/sensitivity training than public agencies, and public agencies were more likely than nonprofits to incorporate a multicultural focus in mission statements and goals, both types of agencies had relatively modest diversity climates. Agency demographics indicated racial and gender segregation. Most agencies had overwhelmingly white and female management and staff. In contrast, the majority of agencies had mostly minority client populations. With respect to diversity activities, both types of organizations tended toward more "nuts and bolts" strategies rather than efforts to create broadly robust diversity climates.

Discussion focuses on the inaccurate perceptions of nonprofit and public agencies related to worker empowerment, staffing challenges, and diversity climate, and reasons for disparity between the types of agencies. We conclude with implications for nonprofit and public managerial practice and recommendations for creating empowering, professionally nurturing, and culturally competent/sensitive work environments.

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Paper Number: PA021538

Paper Title: State Government Approaches to the Evaluation of Private Nonprofits: A typology based on developmental disabilities programs in nine states

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Summary of Research

Three models dominate: stewardship, which many do not consider to be program evaluation; outcomes, incorporating aspects of the traditional scientific model; and participatory empowerment, similar to the theory-of-change.

Each of the states studied uses some aspects of the stewardship model. Two use no other. More frequent was the outcomes approach with an embedded stewardship component; three states take this approach with at least some of their programs. One state in the study is attempting to use stewardship, outcomes, and self-determination with all its programs; another with a proportion of its recipients.

Description

1. Problem to be addressed

Over 30,000 community-based programs are operated by nonprofit organizations throughout the United States to serve adults with developmental disabilities. Typically these programs are both licensed and largely funded by the state government. In keeping with the Conference's focus on Accountability and the Public Trust, this paper will explore the ways in which State governments choose to evaluate these programs.

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

This paper builds on the literature about models of program evaluation. In my research, states' patterns of evaluation fall broadly into four general approaches found in the literature. These include the traditional scientific-model (as described by Ritter and Boruch, 1999), elements of the participatory empowerment approach (as described by Greene, 1988), and activities similar in large part to the theory-of-change approach articulated in the comprehensive community initiatives literature (Kubisch, et.al., 1995). Finally, some of the activities labeled "evaluation" by the State decision-makers would be considered simply verification of proper stewardship, not program evaluation, by many evaluation theorists.

There is almost no literature applying these models to the evaluations actually carried out by State oversight agencies on the programs of nonprofit organizations. The closest approach to this (Racino, 1999) focuses on one state.

3. Approach taken

To explore these areas, I interviewed the Commissioners of Developmental Disabilities or their representatives for nine states of different sizes, economic resources, and regions. These included Colorado, Delaware, Maryland, Massachusetts, Nevada, New Jersey, Oklahoma, South Carolina, and Tennessee. Most of the interviewees were at the level of Assistant Commissioners responsible for overseeing the evaluation of programs in their states. The respondents were selected by their Commissioners in response to a letter requesting an opportunity to interview the Commissioner or his/her designate about the evaluation of community-based programs in developmental disabilities for adults in that state.

The semi-structured telephone interviews covered four main areas: how that state currently evaluates community-based service programs in developmental disabilities; what issues the evaluations cover; how the evaluation process has evolved; and what trends can be anticipated in the future.

The picture that emerges suggests a richly textured range in the purposes of and approaches to the evaluation of community-based programs. Tremendous variation exists in what different states choose to

evaluate and the ways those evaluations are carried out. Although the interests, ideology, information, and institutional perspective – which Weiss posits as indicators which would lead to similar evaluation perspectives -- are very similar from one state to another, the approaches to evaluation are far from identical. (Weiss, 1995)

4. Contribution to the field

Considerable work has been done to survey the approaches taken in program evaluation in nonprofit organizations and the evolution in the US federal government's evaluation models. Many community-based nonprofit organizations, however, rely primarily on state funding. This is particularly true in mission areas such as services to adults with developmental disabilities in which nonprofit organizations are providing community-based services contracted by states in lieu of state-run institutions.

With the devolution of service-provision to private nonprofits, the states have approached their responsibility to be accountable to their citizens in many ways. This research looks at what the state evaluation decision-makers see their approaches to be. It contrasts these approaches to the theoretical models in the literature. This analysis suggests some modifications to the theoretical paradigms that have been offered. It offers a benchmark for analyzing the rapid changes states are making in their evaluation of devolved services, in this climate of increasing attention to accountability. This analysis also contributes to setting the groundwork for an exploration of the reasons for change in the patterns of evaluation seen at this level, nationwide.

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Paper Number: PA021656

Paper Title: Social Partnership and Public Policy in Saskatchewan: A Study of Two Roundtables

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Summary of Research

This presentation will look at the relationships existing between non-profit organizations and various partners from the private and public sectors in two different roundtables in Saskatchewan (one relating to relationship violence and the other to social housing).

Using a method of cross-collecting data (triangulation) and a qualitative research approach we will discuss dynamics within partnerships in order to respond the following question: Does the participation in such roundtables really enable non-profit and voluntary organizations to influence public policy decision making?

Description

1. Issue to be addressed

This proposal pertains to the impact of partnership roundtables on public policy in Saskatchewan. It is conceptualized in a Social Economy framework (Quarter, 1992; Fontan and Shragge, 2000; Jetté, Lévesque and Vaillancourt, 2001). From this viewpoint, we will look at the relationships existing between non-profit organizations and various partners from the private and public sectors in two different roundtables (one relating to relationship violence and the other to social housing). There has been an important increase in the role of the non-profit organizations in the delivery of human services in Saskatchewan since the 1970s. In time, the non-profit sector has become a key actor in the development and restructuring of services. In spite of this, the sector still has difficulty in articulating its voices and in playing an influential role in the public policy decision making process. The partnership roundtables, that appeared in the mid- 1980s, were established to serve as forums and gather stakeholders from non-profit organizations, business and the public sector with the intent to try to develop collective, concerted actions in service delivery. But it remains unclear if the participation in such roundtables really enable non-profit and voluntary organizations to influence public policy decision making?

The presentation will explore social partnership processes among the various players involved in S.T.O.P.S. to Violence and the Saskatchewan Inter-Municipal Housing Network (S.I.M.). With the decline of the welfare state since the 1980s, State/non-profit relations were redefined, new intervention strategies were considered and new partnerships were struck among those involved in delivering human services. As put forth by proponents of a view primarily focused on redefining State/non-profit relationships (Boucher and Favreau, 1997), we believe that these major changes resulted from the need to develop a more decentralised and flexible model that further considers community needs. With this in mind, a study of social partnership processes such as S.T.O.P.S. to Violence and S.I.M. directly ties into an examination of the evolving role played by non-profit organizations at various levels, and most especially, an evaluation of State recognition of the services they deliver.

2. State of Knowledge

To date, few Canadian studies have evaluated social partnership processes or the influence and power of non-profit organizations in having their service needs and improvement proposals heard at the provincial level. Most studies have focused on intersectoral dynamics favouring harmonization of human services (Ouellet, Paiement and Tremblay, 1995), but few have taken an in-depth look at power dynamics in social partnership processes among those involved (Billette et al. 1995; Geller and Zwart, 1997). In fact, the notion of defining interactions between different sectors has yet to be truly explored. "The concept remains ambiguous" (Billette, et al. 1995: 7). A recent study conducted with members of three Montreal roundtables on violence revealed that developing social partnerships did not constitute a

monolithic block wholly guided by rigid principles (Gill and Rozier, 1999). On the contrary, such joint efforts were said to pool resources from various sectors with different mandates and management styles for the purpose of finding global solutions to social problems in a specific region. S.T.O.P.S. to Violence and S.I.M. are among the rare provincial structures to develop such partnerships with various sectors serving diverse clienteles at multiple levels in Saskatchewan.

The roundtables under study are social economy initiatives according to inclusion criteria developed by Quarter (1992: 11-12). That is, they are following social objectives that go beyond commercial objectives and are featuring a democratic partnership structure. S.T.O.P.S. to Violence and S.I.M.'s intersectoral dynamics attest to the partners' desire to create a discussion and work environment favouring the decompartmentalization of violence and social housing interventions. But have such social partnership forums succeeded in meeting the needs of non-profit organizations? Do they permit genuine influence on political decision-makers? As a result of transformations in State/non-profit relations in Canada (Hall and Banting, 2000), Canadian roundtables developed in the past 15 years have helped redefine the services and mandates of different sectors and generally constitute useful State/non-profit discussion and political debate venues. However, the establishment of services provided by the third sector in the area of violence and social housing is not the only indicator of the province's recognition of services offered. For instance, the results of a recent study conducted on the State recognition of services delivered in shelters revealed the difficulty in earning State recognition for shelter orientations in terms of approaches, target clienteles and roles they were willing to play at the provincial level (Gill and Theriault, 2001). Organizational, institutional and socio-political dimensions directly come into play, not only in the preservation and support of services delivered by social economy or third sector organizations (Comeau, 1996) but also in the determination of the power structure within partnerships like S.T.O.P.S. to Violence and S.I.M.

3. Methodology and Data Sources

Overall, the project will use a method of cross-collecting data (triangulation) and a qualitative research approach. Evaluating dynamics presents an interesting challenge since it is virtually impossible to measure the interactions observed. Therefore, various data collection methods are used to gather the necessary information to meet our objectives. In the first year and half of the project (from April 2001 to September 2002) we will have performed three key research tasks:

1. consulted relevant documentation (official documents and minutes, documents from interdepartmental consultations involving the roundtables, and all public policies adopted on social housing and violence issues in Saskatchewan since 1990);
2. conducted a first-hand participant observation at roundtable meetings to pinpoint dynamics at work among the different partners involved; and
3. started conducting semi-directed interviews with some twenty partners (from the various sectors represented) from S.I.M. and S.T.O.P.S. to Violence.

This is the material that will be analysed in our presentation to the ARNOVA conference. The project will remain, however, a work in progress. In the second half of the second year (from October 2002 to March 2003), we will conduct another dozen or so semi-directed interviews, this time with key informants who are not directly involved in the social partnership process, but concerned by it. These interviewees will be senior civil servants and policy makers that will be asked about their perception of the roundtable partnership processes and about of the influence they might have on public policy making.

4. Contribution to the Field

To date, no study has explored social partnership mechanisms and the genuine power of non-profit organizations over policy makers in the area of social housing and violence in Saskatchewan. We believe that these mechanisms represent an important interface between these organizations and the provincial government who is the chief financial sponsor of their services. S.I.M. and S.T.O.P.S. to Violence present unequalled opportunities for understanding the level of recognition of the role played by the non-profit sector in delivering services in the area of social housing and violence and for grasping the power dynamics among those involved. Overall, the study will serve to better understand the issues surrounding social partnership mechanisms for participating non-profit organizations as well as to shed new light on those mechanisms.

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Paper Number: PA021291

Paper Title: Advocacy and Competitive Management in Human Service Nonprofit Organizations

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Summary of Research

This study is one of the first that uses Porter's generic strategies in analyzing the competitive management practices of human service organizations, particularly of those who are successful participants in state and local levels of policymaking. It provides an empirical insights regarding how executive directors, board members and clients' characteristics relate to Porter's generic strategies. An understanding of these associations could contribute to both theory and practice.

Description

Participation of nonprofit sector in public policy making has increased in the past fifteen years. Starting as implementers of public welfare policy, nonprofits have progressively expanded their traditional role and, by strengthening their capabilities and resources, they have become active advocates in public policy making.

The success of nonprofits in public policy advocacy varies by sector. In social services, the health/mental services seek to be influential in redistributive policy on behalf of their clients. Health organizations have successfully lobbied to influence health care legislation related to Medicare/Medicaid and have participated in activities to influence the national health care reform (Jenkins, 1987; Clotfelter, 1992). Grassroots community based social service organizations have been influential in placing items on the agenda. Many larger social service delivery organizations have been successful in influencing public policy through informational lobbying, drawing on their resource dependence and service capacity to influence. Smaller human service organizations join their forces in an attempt to influence public policy through coalitions, organizational affiliations and umbrella organizations (Jenkins, 1987; Clotfelter, 1992). On how successfully nonprofit organizations are shaping public policy, Gronbjerg & Smith (1999) argue that effective advocacy of nonprofit human service agencies is a controversial subject since they may be weak in affecting funding level, but very powerful in shaping regulatory policies pertaining to service delivery.

In parallel with changes in nonprofits' participation in policymaking, the nonprofit sector has also been witnessing changes in its management practices. By the early 1970s nonprofit organizations have already begun implementing techniques practiced by businesses, including strategic management (Greenberg, 1994). One reason for this implementation has been the frequent fluctuation or reduction of funding from the government. The other reason has been the expansion of the nonprofit sector. Between 1989 and 1996 the number of nonprofit organizations increased by 43.6% (Boris, 1999, 10). This increase lead nonprofit organizations at "scrambling for resources and rivalry for clients or users and potential members and their loyalties" (Greenberg, 1994, 380).

This research analysis from a unique perspectives the connection between advocacy and management of nonprofit organizations. In the first stage, this research identified the advocacy objectives of nonprofit organizations. Second, the type of strategic management used by these organizations has been identified. And third, the connection between advocacy objective and type of strategic management has been made.

A first set of surveys sent to state and local legislators, to relevant state and local offices and lobbying firms identified 54 human service nonprofit organizations located in the Rust Belt city of Pittsburgh, PA. These organizations were identified as being successful and less successful advocates in three policy issue areas: family and welfare, health, housing and community development.

A second set of surveys collected on data on advocacy objectives and management of the 54

organizations. The advocacy data findings highlight the differences in advocacy objectives among human service nonprofit organizations involved in the three policy issue areas. The management type of these organizations has been analyzed by using a tool borrowed from the business literature. By applying Porter's (1980) alternative generic strategies (low cost, differentiation and focus) and Dess & Davis's (1984) identified content of each of these strategies, the competitive management strategies used by the 54 human service nonprofit organizations were identified.

According to the identification criteria used, almost half of the nonprofit organizations identified as being successful advocates are, in Porter's terms, "stuck in the middle", basically not having a clearly defined managerial strategy regarding competition.

Business sector research has demonstrated that different attributes exist between managers practicing one generic strategy and those employing other generic strategy (Jennings, 1992). Based on these findings, this research further analyzed variables that might provide an understanding of the factors that lead organizations to adopt one or another of Porter's strategies. Two sets of hypotheses were tested. The first set of hypotheses relates the characteristics of executive directors, board of directors, services provided and organizations' adaptability to the type of generic strategy employed. The other set of hypotheses looks at the connections between decision-making, levels of authority and generic strategies.

This study is one of the first that uses Porter's generic strategies in analyzing the competitive management practices of human service organizations, particularly of those who chose to be part of the policymaking process. It provides an empirical insights regarding how executive directors, board members and clients' characteristics relate to Porter's generic strategies. An understanding of these associations could contribute to both theory and practice.

Paper Number: PA021172

Paper Title: Influencing State Policy: A State Legislature Speaks to Nonprofits

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Summary of Research

"The Advocacy Role of Community-based Nonprofit Organizations: A Legislative Perspective," examines the opinions of state legislators concerning the advocacy role of nonprofit organizations. Community-based nonprofit organizations seek to be influential in their advocacy role on behalf of their clients and community. Faith-based nonprofit organizations have entered into the political arena. Term-limits have changed the political advocacy environment. These two issues are paramount in future strategic planning for nonprofit organizations in their political advocacy role. This study reports the findings from thirty interviews and a mailed survey to all Michigan legislators.

Description

ADVOCACY ROLE OF COMMUNITY-BASED NONPROFITS:
A LEGISLATIVE PERSPECTIVE

□□

□One of the most salient questions in nonprofit research seeks to discover how community-based nonprofit organizations can be more influential in their political advocacy role. According to Hoefler (1995) and Rees (1997) if an organization seeks to influence public policy, the advocacy strategy is important. Advocacy, it is argued, is critical for the survival and growth of nonprofits, while providing essential human services; these organizations are struggling to maintain a balance between government-funded partnerships and community-based support (Salamon, 1995; Smith & Lipsky, 1993; Saidel, 1994; Wolch, 1990).

□Three theories--interest group politics, resource dependence, and new institutionalism--are key to understanding the interdependent nature of the nonprofit role in public policy. Interest group politics reflects the philosophy of nonprofit political participation in a pluralistic society such as the United States. The resource dependence model helps us to understand the deepening relationship between the government and community-based nonprofits. New institutionalism provides the conceptual context for understanding the internal and external policymaking environments (Wolch, 1990; Gronjberg, 1993; Pfeffer & Salancik, 1978; Billis, 1992).

□According to Wolch (1990) government sub-contracting in the United States has enabled community-based nonprofit organizations to gain political and economic resources with which to influence public policy and strengthen their larger public policy role. Wolch's analysis is important in light of current public policymaking. A deeper, more interdependent relationship between the legislature and nonprofit providers of community-based services has emerged.

Charitable choice and discussions of faith-based services dominate public policy debates and serve to further blur traditional boundaries. Mark Chavas (1999, 2001) has done considerable research in the area of faith-based social services and Charitable Choice, an issue that persists in the Bush administration. State term-limits expedite the policymaking process and heighten the advocacy role of professional lobbyists advocating on behalf of community-based nonprofit organizations. The 90's proliferation of state level term-limits and resulting controversy surrounding them is currently a hot topic for researchers (Carey, Niemi, and Powell, 2000).

□This study is a follow-up to an earlier study disseminated at ARNOVA in 1997. In the earlier work

executive directors of community-based nonprofit organizations were interviewed about their political advocacy activities. That study sought to gain a greater understanding of the relationships between government policymakers and nonprofit organizations in their political advocacy role. Executive Directors of nonprofit organizations expressed concerns about the changing political environment with recently implemented term-limits. They reported increasing political activity and more frequent use of association and multi-client lobbyists to engage in advocacy on their behalf. Having reported out the concerns of nonprofit organizations' executives a second study was initiated to go directly to the legislators themselves and ask them about their opinions concerning the advocacy role of community-based nonprofit organizations.

□ In the current follow-up study, interviews were conducted with thirty-one current and former legislators in the state legislature in both the House of Representatives and the Senate. The respondents included 22 members of the house and 9 members of the Senate, 6 former legislators and 25 current legislators, 15 Democrats and 16 Republicans. Legislators shared their opinions about community-based nonprofit organizations' advocacy activities and influence. They shared their concerns about the impact of term-limits on establishing working relationships with nonprofit providers based on trust. Legislators gave their perspectives about the need for nonprofit organizations to change advocacy strategies.

Preliminary results suggest that community-based nonprofit organizations, including faith-based organizations, are substantially involved in advocacy activity both on their own and increasingly through professional lobbyists representing their interests. Community-based nonprofit organizations including faith-based are gaining ground in their ability to influence legislators through participation in the electoral process in a term-limited environment. Results suggest the need for a more comprehensive proactive advocacy process and new advocacy strategies for nonprofit organizations.

Based on the interviews, a survey was mailed to all legislators in the state of Michigan. This survey asks questions about term-limits and their impact upon the legislature's public policymaking activity as it relates to nonprofit organizations. It also asks legislators to give their opinions about the effectiveness of nonprofit lobbying and to give their advice on how nonprofit organizations can be more influential in their advocacy role. The results of the mailed survey will be disseminated at the conference along with the results of the interviews.

The contribution this research makes is that it will enhance the potential of community-based nonprofits to access and engage legislative policymakers in dialogue about public policy. It will provide practical information to community-based nonprofit organizations about the need to change their advocacy strategies in a term-limited environment. The research itself enhances the knowledge of public officials about the implementation role of community-based nonprofits. Ultimately, this research benefits people in need who receive services when community-based nonprofit organizations improve their image and influence by advocating for the needs of the people they serve.

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Paper Number: PA021274

Paper Title: The Context of Public-Private Partnerships: Mapping the Field of Collaborative Strategies

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Summary of Research

This paper introduces a comprehensive framework that anchors public-private partnerships within a wider context of cross-sector and intra-sector collaborative strategies. The framework provides an initial map of the field to help target and inform future research of public-private partnerships. The framework pinpoints areas where research is well developed (contracting relationships, for example), and reveals other areas where additional work is urgently needed (public-private joint ventures). The potential for extending existing research findings to related but sparsely investigated collaborative arrangements is also explored.

Description

The issue -

□ Public-private partnerships have always been an important dimension in the landscape of the nonprofit sector. Their beginnings can be traced back to the founding of universities such as Yale and Harvard in the 1700s, and to development of hospitals and social service organizations throughout the 1800s (Salamon, 1995). Observed as supplementary, complementary, and sometimes adversarial partners (Young, 1999) in major public policy initiatives (Kettl, 1993), public-private partnerships continue to be a fixture in our society.

Today, we see a marked increase in such collaborations. Political and economic forces, including devolution and government budget cuts, combine with organizational imperatives for cost savings and revenue enhancements to create a climate conducive to extensive partnering relationships (Austin, 2000). Accompanying the growing prevalence of public-private partnerships is increasing variety (Young, 1999) and intimacy (Gronbjerg, 1998) in partnership arrangements. Arm's length contracting is evolving into longer-term alliances, asset-sharing joint ventures, and even acquisitions/consolidations (Hynes, Kirby, & Sloan, 2000). Similar arrangements are proliferating between two or more nonprofit organizations (Arsenault, 1998; McLaughlin, 1998), between nonprofit and for-profit organizations (Austin, 2000), and between government and for-profit organizations (Kettl, 1993).

Essentially, public-private partnerships represent one family of collaborative strategies that are becoming more numerous, enduring, and complex. A parallel increase in research attention is evident. However, a systematic framework to capture the variety of partnership arrangements and to integrate related research findings is absent. A framework to organize and synthesize the fragmented pockets of research activity is desirable to help keep pace with the dramatic developments in public-private partnerships today.

Relation to state of knowledge in the field -

□ The paper focuses on public-private partnerships between nonprofit organizations and government entities, while examining related families of partnerships as well. Major types of partnerships are defined and explained: 1) contracting relationships, analogous to notions of "third-party government" and "new public management" (Boris & Steuerle, 1999; Salamon, 1995); 2) strategic alliances, where "the government is no longer a buyer dealing at arm's length with a seller but a partner in a virtually seamless, mutually dependent interrelationship" (Kettl, 1993, pg. 13); 3) joint ventures, which move beyond the shared programming and governance of strategic alliances to the sharing of assets (Moore & Hudson,

2000); and 4) mergers and acquisitions, where two or more organizations become one (Arsenault, 1998). Empirical work relative to each type is examined; relevant literature includes the following, by category: 1) Salamon, 1995; Gronbjerg, 1993; Smith & Lipsky, 1993; 2&3) Alexander, Nank, & Stivers, 1999; Alexander, Comfort, & Weiner, 1998; Brinkerhoff, 1999; Hynes, Kirby, & Sloan, 2000; Kettl, 1993; 4) limited empirical work.

□

The paper positions the government-nonprofit family of partnerships within a context of similar arrangements between other classes of organizations, and examines key works in each partnership family. These include public-private partnerships comprised of government and for-profit organizations (Hynes, Kirby, & Sloan, 2000; Kettl, 1993), cross-sector partnerships between nonprofits and for-profits (Austin, 2000; Lewis, 1998; Weisbrod, 1997), and partnerships between two or more nonprofit organizations (Arsenault, 1998; Golensky & DeRuiter, 1999; McLaughlin, 1998; Schmidt, 1995; Singer & Yankey, 1991; Snavely & Tracy, 2000).

Approach taken in the paper -

□A matrix of collaborative strategies is developed that arrays the partnership families along one axis, and the partnership types along a second axis. A wide-ranging literature review is then organized into cells of the matrix. Each cell represents one type of collaborative arrangement (such as strategic alliance, or merger) in one partnership family (nonprofit-government, nonprofit-nonprofit . . .).

Insights from research findings in one cell may be usefully interpreted to facilitate understanding of events in adjacent cells. For example, suggested governance mechanisms for strategic alliances between for-profits and government may provide guidance for alliances between nonprofits and government. The matrix as a whole provides a snapshot of the extent of research activity in each family and type of partnership.

Contribution of the paper -

□The paper introduces a comprehensive framework that anchors public-private partnerships within a wider context of collaborative strategies. The matrix framework provides an initial map of the field that can help target and inform the efforts of the research community. The framework pinpoints areas where research is well developed (contracting, for example), and reveals other areas where additional work is urgently needed (public-private joint ventures). The potential for extending existing research findings to related but sparsely investigated collaborative arrangements is also explored as a means for speeding the pace of advancement in the field. Generally, the paper aims to consolidate a broad and fragmented literature to facilitate timely understanding of public-private partnerships.

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Paper Number: PA021390

Paper Title: Strength in numbers? Alliances as a strategy for policy influence

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Summary of Research

This paper discusses the strengths and weaknesses of alliances within the non-profit sector as vehicles for lobbying and policy influence. Based on UK research, it explores the reasons why NPOs form and join alliances and the challenges such alliances pose for participating organizations. In particular it explores issues of trust within alliances and the tensions between the added value of working in alliance and the need for an organization to maintain its distinctive profile and its accountability to its own membership. The paper will set its findings in the context of the wider literature on alliances.

Description

Alliances have been a feature of the lobbying and policy work of the non-profit sector from the days of the Anti-Slavery Movement onwards and there are many examples in the twenty first century of organizations coming together to advocate for change. The research on which this paper is based suggests that common reasons for forming an alliance include the strength in numbers that it provides as well as the synergy gained by pooling networks, information, resources and skills. Joint working also allows organizations to combine different strengths ('our muscle, their policy expertise'), perspectives (providers/users) or strategies ('insider' and 'outsider' strategies). Some feel that working together reflects the wider values of the sector, while alliances can also be an effective strategy when dealing with governments who demand a coherent sector voice. Alliances are not only targeted at government and others outside the sector; they also allow organizations to influence and inform others within their own sector. However, engaging in alliances has costs in terms of time and resources. And there are tensions between the advantages of working in alliance and the need for an organization to maintain its own distinctive profile and its accountability to its own membership.

This paper will discuss the issues that alliances raise for non-profit organizations who are engaging in lobbying and advocacy in England. It draws on a recently completed two year research study which has studied the contribution of the non-profit sector to the democratic process in this country. The research studied the changing political opportunity structure in the UK across three different policy fields and how that affected the choices that organizations in the sample made about strategy. It also explored how they and their 'targets' evaluated and addressed issues of effectiveness and legitimacy. It involved over 100 interviews with non-profit and community organizations as well as government actors in four localities and at national level, followed by three case studies focussing on neighbourhood renewal, pollution and a minimum income for older people. Preliminary findings from the study about the way in which the sector and government actors saw its overall contribution to democracy were presented at last year's ARNOVA conference.

This paper will explore why organizations in the sample joined alliances and what kinds of alliance they joined. It will focus on alliances within the sector. It will explore the sector's views on the opportunities that such alliances present, on their disadvantages and on the challenges they pose. In particular, it will explore issues of trust between participating organizations, issues of accountability and the issue of 'branding', i.e. the extent to which it is possible for an organization both to work effectively as part of an alliance and also to maintain its own distinctive profile (which is essential if it is to attract and retain members and to establish its position in the policy networks). The paper will also consider power differentials within the sector and the extent to which alliances can reinforce or challenge these.

The paper will set its findings within the context of the wider literature on policy networks and coalitions. It will also consider how its findings relate to other accounts of alliances within the non-profit sector, both in the UK (e.g. Abdy and Barclay 2000; Leat and Passey undated) and further afield.

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Keywords: alliances; advocacy; policy influence

Paper Number: PA021628

Paper Title: Social policy and disabled people : What kind of partnership between the State and the Nonprofit sector ?

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Summary of Research

With regard to «Disability Policies », within the Canadian context, the role of the third sector has been less prominent in Québec. Yet, we cannot dismiss the gains that the social movement of disabled people achieved when we look at how public organisations, rehabilitation centres, and state departments now operate. Our results show the existence of tensions between the State and the third sector, especially in the past decade. But these tensions are not deemed irreconcilable : data show bilateral influences. The leadership of consumer and advocacy groups is real in transportation, housing and, to a lesser extent, domestic care.

Description

1. The problem

In 1982, the United Nations announced the beginning of the International Decade of Disabled Persons (1982-1993). As a matter of fact, although social policies for disabled people («Disability Policies ») in western countries are rooted in the rise of the Welfare State, it is only 25 years ago that a new turn was taken. For instance, in the 1950s in Canada, philanthropic and grassroots organisations took charge of disabled and indigent people, while the government provided assistance and services to the War veterans. Then, in the 1960s, Vocational Rehabilitation of Disabled People Act (VRDP) was adopted and remained the national orientation for 30 years, until the most recent national policy was signed “In Unison”, was signed in 1998. Until the 1970s in the province of Québec, the concern for the disabled was mainly that of the Roman Catholic Church which dominated the social fabric (education, health, social assistance) and controlled the family institution. Yet, at the outset of the 1980s, the province issued an all encompassing policy, « À part...égale », aimed at the integration of disabled people in all fields of social life. Both Canadian and Québécois policies make room for an active role of nonprofit and voluntary organisations, or third sector.

In this paper we shall illustrate the evolution of the third sector with a special view on “Disability Policies”. We suggest that, within the Canadian context, the role of the third sector has been less prominent in Québec over the last quarter century, since the provincial government largely took charge. However, it would be mistaken to discard the role that associations and consumer groups have played with regards to the services available to the disabled people and their participation to political debates and decision making. Our own research shows that the third sector has made small though relevant inroads in several domains of social activity, despite the fact that the disabled population is far from unanimous in judging its achievements. We shall put forward a few explanations to this evolution of the “partnership” between the State and the nonprofit & voluntary sector, and assess possible trends for the near future.

Our results stem from a research conducted by LAREPPS and the Office des personnes handicapées du Québec (OPHQ) over the past two years. We would like to thank the department of Human Resources and Development of Canada (HRDC) and OPHQ for financing this research.

2. State of knowledge

When one looks at the transformations that took place with regards to people with intellectual disabilities,

physical impairments, or mental health problems, we must stress a core idea that pervades all social movements associated with disabled people, that is : social integration. Within this general movement, the impact of the independent living movement looks striking. This movement, or social ethics, has indeed inspired social thought and social policies in a large number of countries. Although it takes its origin in the United States, where the presence of the Welfare State is known to be relatively small in comparison to other western countries, it has spurred similar movements and social activism in Great Britain, Scandinavia and Canada.

For example, in Great Britain, the “ethics” of the independent living movement has greatly influenced community based groups and the voluntary sector, despite the differences in strategies as regard their membership and specific concerns for mobility, learning difficulties, or mental health problems.

Moreover, such ethics has made a remarkable breakthrough within the literature on social policy (Morris, 1993 ; Wistow et al., 1994 ; Means et Smith, 1994). In the field of social research for instance, a major theoretical contribution was that of Drover and Kerans (1993). With regards to social action and social practice in Canada, a national organisation such as the Roeher Institute (with the concept of « Social Well-Being ») and provincial organisations such as the Social Planning and Research Council of British Columbia are influenced by the same ethics and values.

In 1981, the Disabled Peoples International (DPI) founding conference encourage disabled persons to partake in the philosophy of independent living (philosophie de la vie autonome). Consumer rights groups began to seek the implementation of community services available on a day to day basis. This new kind of social activism was very strong in Canada, especially in Winnipeg, and migrated recently into the province of Québec. (Today, we account for roughly 25 resource centres for independent living in Canada, and three in Québec.)

Overall, the independent living movement is said to have contributed to both the evolution of the social environment (the mentalities and values, as well as, social infrastructures and facilities for disabled people) and the shaping of social policies. We generally refer to the first type of social change as a movement of normalisation (Wolfensberger, 1972). We conceive of the second type of change as an evolution from piecemeal assistance measures and welfare programs to an integrated social policy supporting a global view of social life and the empowerment of disabled people.

In Québec, what we like to refer as the philosophy of social role valorisation (developed on the basis of Wolfensberger’s previous work, 1984) became the dominant ideology within a short period of time. This view implies that disabled people, or their family, should be part of the decision making process when it comes to disability policies. It rests on the assumption that people are qualified to make decisions that pertain to their own life, that they should legitimately assert personal autonomy and claim their right to choose. It advocates their right to live the life they have chosen and to be fully integrated in all domains of social life, such as housing, leisure, work, schooling.

Thus, in the area of disability policy, we have witnessed a sort of co-habitation of the Welfare State and the third sector in the past 25 years. But it is a “renewed” third sector that we must be talking about here, including community based groups (milieu associatif), nonprofit organisations (économie sociale) and other NGOs. In a renewed third sector, people are not “taken care of” as passive individuals. In the third sector, disabled people themselves are encouraged to play an active role in defending their own rights at school, at work and in society in general. The third sector seeks to provide the services people need, be it at home, in transportation facilities, in housing.

Yet, the situation of the third sector in Québec seems to have lagged behind. For example, in the domain of domestic care (“services à domicile”), where the third sector has traditionally been very active, the province is often seen as less generous as compared to other parts of Canada. On the other hand, in terms of disability policies, the “Québécois model” is often highly praised, both within and outside the province. One explanation runs as follows : since the “Révolution Tranquille” of the 1960s, the Welfare State and the “modèle providentialiste” have loomed large in our social policy mainly because the whole society wanted to leave behind the legacy of a domineering Church and the remnants of “private charities” recalling the economic domination of the English speaking community over French Canada. Therefore, how should we approach the “partnership” between the State and the “new” third sector that seems to have emerged in the past decade ?

3. Approach & data sources

We base our assessment on three sets of data. First, we rely on a historical review of the changing

dynamics between levels of government and the non-profit sector (including advocacy and consumer groups). We also have conveyed empirical data by means of focus groups (over a dozen) with disabled people, as well as interviews with public servants and leaders of nonprofit & community based organisations. Finally, we have computed an exhaustive set of 250 programs and social services deployed in Quebec in various domains of activity (education, housing, transportation, labour market, rehabilitation, leisure infrastructures). These programs are, by and large, initiated by the provincial government and are partly financed by the Canadian government, but they also reflect community-based innovations and give a sense of the role played by the third sector regarding disabled persons.

4. Results and contribution to the field

Historically, associations of disabled people have moved from rather passive and complacent groupings to more critical, even radical, advocacy groups (Boucher, 2001). While most acted as lobby groups exerting pressure for more public services, they became very critical in the 1970s, demanding social policies that fitted better the ethics of normalisation and programs that were flexible in their orientation, efficient in dispensing services and open to non medical interventions. Indeed, associations were very active in the development of a «modèle québécois» of social integration. We cannot dismiss the gains that the social movement of disabled people achieved when we look at how public organisations, rehabilitation centres, and state departments now operate (Vaillancourt, in progress), in spite the fact that the State took central stage. Lately, we have sensed more clearly the influence of the third sector on programs and policies emanating from the department of health and social services (MSSS) or Office des personnes handicapées, as well as on the transformation of the attitudes of management in the public sector and private sector (Vaillancourt et Jetté, 1997). On the other hand, the State apparatus was not only instrumental in shaping of large coalitions of advocacy groups : it aimed at structuring demand in that very way.

Over the past decade, the issue of integrating disabled people in the social fabric has been tied to an increasing number of people with disabilities, especially due to an aging population. We have also realised a diversity of social and historical struggles within the movement of disabled people, such as people with mental health problems. In that context, it would be mistaken to see the action of the third sector as homogenous. For advocacy groups traditionally followed different paths in accordance with the specific interests of their members. We know, for instance, that de-institutionalisation of people with mental health problems began in the 1960s, during a very affluent era, whereas the same phenomenon occurred only twenty years later in the case of people with intellectual/cognitive disabilities, as the 1980s was a period marked by economic recession and budgetary cuts. We must also remember that in the case of the latter, associations of parents and families played a dominant role in the development of services for their children.

Other results show that the third sector has been more active in certain regions of the province. This seems to be linked to the relative absence of State agencies in remote communities, especially in the domain of transportation and in housing. In the field of domestic care, the third sector made a breakthrough in the late 1990s, but does not seem to be very competitive with State agencies or the private sector as far as disabled people are concerned. Finally, depending on the domain of activity, data show the strengths and limitations of third sector. In schooling for instance, free choice may yet be difficult to implement in public schools, education is still very much State controlled. Programs in favour of integrated schools / classrooms for people with sensory impairments or intellectual disabilities (école et classe intégrées) are a far cry from reality, yet, nonprofit and parents-controlled initiatives are few and far between.

In brief, our results show the existence of tensions between the State and the third sector with regards to disability policies, especially in the past decade. But these tensions are not deemed irreconcilable. On the contrary, data show bilateral influences between the State and the third sector. The leadership of consumer and advocacy groups is real in transportation, housing and, to a lesser extent, domestic care.

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Paper Number: PA021220

Paper Title: Religion and the Life of Teenagers: Does It Impact Risk Behavior

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Summary of Research

Based on a national random sample of 2004 teenagers (11 to 18) we assess the importance of religion and religious institutions for teens in America. Further, we asked to what extent religious beliefs and participation in religious nonprofit institutions affect teenagers ability to avoid or minimize risk behaviors.

Description

Despite growing evidence about the religiosity of adult Americans, far less is known about the religious beliefs and practices of youth. It is unclear what family or cultural impacts there are on youth religious belief and behavior. It is also unknown what the impact of religious beliefs and behavior have on youth risk behavior. Given the growing interest on the impact of religion it is critical to assess the level and impact of religiosity among would-be adults-today's youth.

Youth religious beliefs and behavior should be highly correlated with their parent's behavior. Younger teens are expected to be more affected by their parents' religious behavior than older teens. Higher participation in religious activities will correlate positively with higher academic achievement and fewer risk behaviors.

A randomized telephone survey of 2004 parent (guardian)-teen pairs was conducted in 2000. Both youth and parent were questioned separately about the youth's religious behavior. Youth were questioned about the importance of their religious beliefs and about their participation in religious activities and about risk behaviors.

Household income and level of parental education were found to be significant in explaining strength of religious belief and frequency of religious attendance, but not religious beliefs. Ethnicity and gender were found to have some significance in predicting belief and behavior. High risk behavior was found to be negatively correlated with higher participation in religious activities.

Despite a common belief that lower income groups are believed to be more religious, this study shows that while strength of belief is positively correlated with lower household income, attendance at worship or a religious program is correlated with a higher household income. Given the correlation between higher religious participation and lower risk behavior, it is likely that participation in a religious group promotes low risk behavior.

Paper Number: PA021322

Paper Title: Churchwomen's Organizations: A Neo-Institutional Analysis

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Summary of Research

Neo-Institutional theory implies that the goals and activities of organizations change to conform to templates current in the organizational field. This paper will analyze the content of the periodicals published by two churchwomen's organizations, a community of Catholic nuns and a Protestant women's missionary organization, from 1970 until 2000. Changes in the organizations' self-definitions, statements of goals, and featured activities will be described and compared. Concluding reflections will outline how, as predicted by Neo-Institutional theory, changes in the larger organizational field have impacted these groups.

Description

□ Neo-institutional theorists in the field of organizational sociology argue that members of organizations are constrained in their activities by "taken-for-granted scripts, rules, and classifications" which pervade the larger field or environment in which the organization operates (Powell and DiMaggio 1991:15). In the past few decades, neo-institutional studies have investigated for-profit corporations (Fligstein, 1991), public school districts (Scott and Meyer, 1991), hospitals (Scott et al, 2000), and other nonprofits. Recently, one of the founders of neo-institutionalism has argued that the theory could be applied to church organizations as well (DiMaggio, 1998).

□ This paper will investigate changes in the "scripts, rules, and classifications" prevalent among two groups of churchwomen: a Protestant women's mission society and an order of Catholic nuns. A part of a larger study, it builds upon a paper read at the 2001 ARNOVA meetings (Wittberg, 2001). In the earlier paper, transcribed focus groups were analyzed. The present paper will build upon a content analysis of the periodicals published by these two groups between 1970 and 2000. Changes in the organizations' self-definitions, statements of goals, and featured activities will be described and compared, in order to investigate whether they reflect larger cultural features in the organizational field.

□ As neo-institutional theorists have postulated, the topics and viewpoints, the agendas and goals emphasized in these publications may not be those most appropriate for optimal organizational functioning, or even for the group's survival. Recent U.S. government policies assume that church-related nonprofits are better at meeting certain social needs. The "Rational Choice" school of the Sociology of Religion postulates that strictness in doctrine and praxis is the most conducive to church survival and growth. But, if neo-institutional theory is correct, both the performance of church organizations in social ministries, and also the growth and survival of these organizations themselves, may depend on these taken-for-granted scripts imported from the institutional field. The present paper is an initial step in exploring this issue.

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Paper Number: PA021573

Paper Title: Something in Common: The Social Perceptions and Social Programs of Blacks and Koreans Through Congregation-based Social Services

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Summary of Research

In the wake of September 11th, finding common ground has far-reaching implications. Relationships of Blacks and Koreans are characterized by conflict. Congregations provide groups the opportunity to meet needs and build community relationships. Using census and survey data, this study identifies poverty, crime, poor quality of education, and lack of health and social service facilities as social problems for both Black and Korean congregations. These 418 Black and 22 Korean congregations provide services for youth, seniors, and homeless persons. Implications for building community relationships across ethnic, cultural, and religious boundaries to address problems and diffuse conflict are discussed.

Description

Something in Common: The Social Perceptions and Social Programs of Blacks and Koreans Through Congregation-based Social Services

Purpose: In the wake of the September 11th tragedy, finding common ground has far reaching implications for uniting Americans that have been divided. Blacks and Koreans are such groups. They co-exist in several urban communities that have limited resources and multiple social problems. In addition, their relationships have been characterized by conflict (MacFarquhar, 1992; Min, 1996; Yoon, 1997). Congregations in the U.S. have been identified as community-based organizations that provide groups the opportunity to respond to needs in their geographic communities as well as assisting their members (Billingsley, 1999; Chaves & Tsistos, 2000; Cnaan, Boddie, Handy, Yancey, & Schnieder, in press; Lincoln & Mamiya, 1990). However, it is unclear whether Black and Korean congregations respond differently to the social needs in their communities given their different interests and conflicting relationship. This exploratory study will identify the kinds of social services Black and Korean congregations provide in relation to their social context and their perception of the social problems in their communities.

Methods: Data from a survey of 418 Black congregations and 22 Korean congregations in one northeastern city and 1990 census data was used to compare the perception of social problems to community needs and the congregation-based services provided. Data included the congregation's demographics, history, governance, social service programs, and perception of social problems. Using geographic information system (GIS) the congregations and their social services were mapped in relation to contextual variables (e.g. income levels, education levels, and proportion of Black and Korean residents).

Results: Black and Korean congregations perceived poverty, crime, poor quality of education, and lack health and social service facilities as neighborhood social problems. However, Black congregations provided more services to address the community social issues and Korean congregations were more focused on the social care and community building among other Koreans. We identified one Korean congregation that was an exception and provided services to the broader community. In response to a tragic killing, this congregation began providing social services to Blacks in the community as a means of healing. This congregation now has social services that look more like some Black congregations in its neighborhood. It provides services to children and youth, older adults, and homeless persons.

Implications for policy and practice: This work will add to the literature by documenting the various ways

congregations can face the violence and other social problems of many urban environments. It also has implications for those building community relationships across ethnic, cultural, and religious boundaries to address common problems and diffuse conflict that is often present among Koreans and Blacks in urban environments.

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Paper Number: PA021674

Paper Title: Evangelism and Participation in Church-based Community Service

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Summary of Research

In some churches, the tasks of sharing faith and meeting community needs are integrated mission concerns. This paper examines the relationship between member attitudes toward and involvement in evangelism, and member participation in community-serving activities, in three churches. Findings suggest that when a church combines opportunities for social activism with an emphasis on evangelism, members who have assimilated this message are more likely to become involved in outreach programs. Teachings that link evangelism to social action may thus be powerful motivators for involvement in community service, when they are absorbed into members' religious identity and lifestyle.

Description

The research question to be addressed:

Volunteers are central to church-based community service programs, and church attendance is critical in the promotion of volunteerism (Hodgkinson 1993, Cnaan 1999). About half of church members volunteer time to help congregations and the congregations' social services (Hoge 1998). Moreover, church members are more likely than non-members to report being active in their communities, outside of formal church activity; one third of regular church attenders say they helped the poor, the sick, or the elderly in the past year (1992 Gallup; Wuthnow 1997). Hoge (1998) found that church attendance and participation in church programs are by far the strongest predictors of volunteering. In short, numerous studies confirm: Those who attend church are more likely to volunteer; and those who attend more frequently tend to volunteer more hours.

Because of this overall importance of church volunteerism to social service activities, there is value in understanding what motivates and sustains the involvement of church members. In particular, we can ask which regular church members will get involved in community outreach. While there are several competing explanations for church-based volunteerism, one approach focuses on religiously- based beliefs and attitudes that motivate community service. Volunteerism may be viewed as "an expression of religious identity" (Wuthnow 1990, 113). Cnaan speaks of a "congregational norm" of helping the needy, internalized by church attenders (1998). Wuthnow agrees: "Those who believe simply that it is a moral duty to help people in need are nearly three times more likely to be involved in helping the poor than those who do not believe so" (Wuthnow 1997, 201). On the other hand, it appears that general spirituality or religious feelings, or abstract religious principles by themselves, provide only a weak motivation for active volunteering (Cnaan, Kasternakis, and Wineburg 1993; Wuthnow 1991, Hoge 1998).

Rather, what appears to matter to volunteerism is an integrated faith, or the "degree to which religious teachings are assimilated into the lifestyles and practices of their adherents" (Wuthnow 1990, 8). As Hodgkinson puts it: "People who take religion seriously participate more in their communities and give and volunteer in higher proportions both to their congregations and to other charities" (Wuthnow 1990). So what does it mean to "take faith seriously"? Wuthnow found that active church members who had thought about their faith in relationship to issues in their daily lives — work, money, priorities — were more likely to be involved in helping the poor. Further, those who say that their faith is a significant motivation for their participation are more likely to actually become involved in helping activities than those who do not link their faith to service. (Wuthnow 1997). Wood's research similarly suggests that the congregations that most effectively involve their members in political activism are those which are able to help members connect meaningful religious experiences with social issues (Wood 1994). It is not spirituality or general religious teachings alone, but the meaningful integration of faith and social

concerns in the context of a church community with a particular religious identity, that apparently has an impact on volunteering.

The notion of integrated faith implies that the beliefs or motivations associated with social activism are interconnected with other areas of religious life. Social ministry does not take place in a vacuum apart from other tasks and values of the church. Church members cite worship, the spiritual well-being of members, developing a sense of fellowship or community, and bringing others to the faith as equal or higher priorities alongside social action. It is therefore important to investigate the relationship between social ministries and other aspects of church mission.

This paper explores the connections between the tasks of sharing faith and meeting community needs. We examine the relationship between member attitudes toward and involvement in evangelism, and member participation in community-serving activities, in three congregations with divergent approaches to community outreach. The research leads us to propose three hypotheses:

1. Those whose faith is most integrated, as indicated by informal witnessing and caring activities in their daily lives, are also most involved in formal church outreach programs.
2. When a church emphasizes evangelism as an essential dimension of local mission, members who have assimilated this message, as indicated by beliefs and behavior which underscore the importance of evangelism, are more likely to become involved in social outreach.
3. When a church does not emphasize evangelism as an essential dimension of local mission, beliefs and behaviors associated with evangelism are disconnected from social activism.

We conclude that teachings that link evangelism to social action can be powerful motivators for member involvement in community service, when they are assimilated into members' religious identity and lifestyle.

Research methods:

The Congregations, Communities and Leadership Development Project, sponsored by Eastern Baptist Theological Seminary, conducted fifteen case studies of Protestant congregations with local outreach programs in the greater Philadelphia area. The goal of this research, funded by the Lilly Endowment and the John Templeton Foundation, was to examine the relationship between social action and evangelism in church-based community outreach. Detailed case studies of fifteen congregations were undertaken in phases by a team of seven researchers over a 30-month period (1997-1999). While not a representative sample, the churches were selected to maximize diversity across a range of relevant factors. The case studies, which included a survey of each church (with a total of 2044 usable surveys) along with interviews, participant observation and document collection, yielded information on 176 local outreach ministries. The case studies were supplemented by 23 interviews with leaders at other churches.

This paper draws primarily on survey and ethnographic data from three of the case studies. Christian Stronghold Baptist Church is a large (4,090 members), inner city African American church with a conservative theology that emphasizes both evangelism and social compassion. First Presbyterian Church (U.S.A.) is a medium-sized (700 member), Anglo church located in the downtown of a small city (Mt. Holly, New Jersey). Its theology is more moderate, its style less authoritative than Christian Stronghold. Central Baptist Church is a smaller (260 member), Anglo suburban congregation with a legacy of liberal-leaning social activism. All three churches are significantly invested in social outreach programs.

The analysis compares how members in these congregations perceive and participate in the ministry priorities, beliefs and activities of their church. Six areas of the survey are examined: how members describe their congregation's identity and ministry priorities; personal motivations for ministry; participation in church outreach programs; involvement in evangelistic or compassionate actions of a more informal nature (such as inviting a friend to church, or giving money to someone in need);

participation in volunteer or community organizing work outside the church; and the perceived importance of evangelism relative to social action.

The significance of this research question:

While attention to the contributions of congregations to the public good has accelerated in the last few years, our understanding still lacks precision and depth. We still have much to learn about what distinguishes church-based from secular civic activism. What is particularly religious about church-based social services, beyond the fact of church sponsorship? In particular, what uniquely religious factors might help to explain the consistent finding that active church attenders are more likely to volunteer time or money to help the poor? Our paper will help to shed light on the ways that church members' faith motivates and gives meaning to their social action.

Our analysis is framed in terms of the relationship between evangelism and social ministry, an underexplored terrain. Many studies of churches' public involvement still refer to "evangelism" and "social activism" as exclusive orientations. Yet there are many signposts that new patterns are emerging. This year, for example, the National Association of Evangelicals — the largest association of evangelical churches, representing 51 member denominations — passed a resolution, "Heeding the Call of the Poor: Let the Church Be the Church," affirming a more inclusive understanding of churches' civic responsibility: "Through ministries of evangelism, discipleship, mercy and justice, we should serve the poor, strengthen families and transform our communities." This raises the question of how (or whether) churches actually embody this integration of evangelism and social action in their community outreach. The three case studies presented in this paper illuminate the diverse ways that churches, and individual church members, connect these mission themes and assimilate them into their lives through acts of witness and social compassion.

This paper hopes to contribute three points to the important dialogue on the role of congregations in community restoration. First, it points to how religious capital (particularly integrated faith) can translate into social capital, and vice versa. Second, the link between evangelism and social compassion in some church-based community involvement suggests that we ought not divorce the "secular" aspects of social services from the religious beliefs and motivations invested in them. Those who study church-based activism, and those who make public policies or funding decisions concerning it, should pay attention to the spiritual dynamics of social ministry. Finally, we note that dualistic paradigms (evangelism versus social action) do not accurately capture the shape and influence of religious beliefs about mission in some churches. We suggest a more complex approach that takes both-and orientations of participants into account.

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Paper Number: PA021225

Paper Title: Utopian Theory and the Third Sector

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Summary of Research

This paper explores a hitherto unexamined source of substantial theoretical importance to third sector studies: the vast literature on Utopian communities and societies.

For the student of the third sector, the Utopian literature provides three major strands of theoretical interest:

- 1) Analysis of the roles played by voluntary service, charitable and/or philanthropic action, and nonprofit organization in the good society
- 2) Analysis of the interrelations between major societal sectors and institutions in such societies
- 3) Analysis of disfunctional aspects of third sector activity and organization in society.

Description

This paper explores a hitherto unexamined source of substantial theoretical importance to third sector studies: the vast literature on Utopian communities that begins with Thomas More (1516) and continues up to the present in the works of such writers as Ernest Callenbach (1975) and Guy Dauncey (1999).

Utopian theorists describe imaginary worlds, depicting optimally structured and well functioning societies. The Utopian typically works with a four-sector conception of society, and describes the ways in which polity, economy, informal institutions (family, kin) and voluntary action are organized, and how their interactive workings play out within the imagined society.

For the student of the third sector, the Utopian literature provides three major strands of theoretical interest:

- 1) Analysis of the roles played by voluntary service, charitable and/or philanthropic action, and nonprofit organization in the good society
- 2) Analysis of the interrelations between major societal sectors and institutions in such societies
- 3) Analysis of disfunctional aspects of third sector activity and organization in society.

In this paper, I begin by presenting several exemplary utopias, and proceed to examine the role of the third sector within each of them. Among these exemplars are More, the creator of the concept of "utopia"; the obscure French Enlightenment detailer of utopian structure, Morelly (1755); the quirky "scientific" utopian, Charles Fourier (1772-1837); and the two leading Socialist utopians, Edward Bellamy (1888) and William Morris (1890).

The richness of the material may be illustrated by an excerpt from Bellamy's classic, *Looking Backward*. Dr. Leete, the utopian host to the narrator, Mr. West, who has gone to sleep in the year 1888 and awakened in the year 2000, is explaining that even invalids play an important role in Utopia.

"All our sick in mind and body, all our deaf and dumb, and lame and blind and crippled, and even our insane, belong to (our) invalid corps, and bear its insignia. The strongest often can do nearly a man's work, the feeblest, of course, nothing; but none who can do anything are willing to give up. In their lucid intervals, even our insane are eager to do what they can."

"That is a pretty idea of the invalid corps," I said. "Even a barbarian from the nineteenth century can appreciate that. It is a very graceful way of disguising charity, and must be grateful to the feelings of its recipients."

"Charity!" repeated Dr. Leete. Did you suppose that we consider the incapable class we are talking of

objects of charity?"

"Why, naturally," I said, "inasmuch as they are incapable of self-support."

But here the doctor took me up quickly. "Who is capable of self-support?" he demanded. "There is no such thing in a civilized society as self-support.... The necessity of mutual dependence should imply the duty and guarantee of mutual support; and that it did not in your day constituted the essential cruelty and unreason of your system."

The range of issues pertaining to the third sector considered in the Utopian literature is broad indeed, including such issues and concerns as population size and control, crime and punishment, national service, religious pluralism, educational practice, communal social care, open sexual relationship, guild organization, and residential patterning.

Similar issues have also been considered in the "dystopian" literature, which creates images of frightening or dysfunctional futures. These "negative utopias" have become highly popular in current mass culture, particular in film versions. This paper will discuss this tradition (Cf. Huxley, Orwell, R. Bradbury), but not as a primary focus and only in contrast to the positive utopian tradition.

A review of utopian constructions on these issues suggests alternative structural and institutional patterns that, while they may seem "unrealistic" or audacious to contemporary eyes, may be useful in expanding the limits contemporary social solutions place upon the human potential for cooperation, social innovation and collective and individual achievement. The role of utopia has always been to expand the envelope, to extend the vision of what may well be able to be achieved "if only" we had the vision, the good luck, and the commitment to build a better society in which to live.

The third sector has been seen as "first" in its ability to innovate (Young, 1988), the home of poets and dreamers as well as managers and service-providers (Young, 1983). This paper challenges scholars and activists in the third sector to remember the big social dreams of the utopians, and their conceptions of the role that the third sector itself may play therein.

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Paper Number: PA021493

Paper Title: Assessing Theories of Nonprofit Development: Lessons from the Post-Communist Experience

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Summary of Research

This paper first examines the development of key institutional areas of civil society and nonprofit activities in post-communist societies. Particular attention is given to the role of international actors in institution building. The paper then reviews major theories of nonprofit development and provides an assessment of their usefulness in understanding the post-communist experience. The paper concludes with thoughts about how an integrated theory of the post-communist experience might be developed.

Description

Since the collapse of communist systems in Europe and Eurasia, much attention and enthusiasm has been focused on the development of civil society and nonprofit sectors in post-communist societies. Political actors have pushed for the development of civil society as a central element of democratization and political development. Social activists have created nonprofit organizations to realize social policy, environmental, human rights, and other goals. In these efforts, domestic actors have received support from multilateral organizations and international development agencies. In addition, private foundations in Europe, Japan, and the United States have had active programs of civil society and nonprofit development in post-communist countries.

A review of the historical experience suggests that these various initiatives aimed at institution building have met with mixed success. Nonprofit organizations have grown in the past decade but the growth has varied significantly by country and the nonprofit sector remains small throughout the region. After an initial flourishing of civil society in the wake of political transformation, grassroots citizen initiatives remain limited in scope and impact on policy making.

Ironically, these recent efforts at the construction of the institutional space for the nonprofit sector have yet to be systematically addressed by theories of the nonprofit sector. Like previous theories of the nonprofit sector, the most ambitious attempt to develop a theory of the nonprofit sector, the "Social Origins" theory of Salamon and Anheier (1998), speaks little about the post-communist experience.

This paper begins to fill in the gap in theorizing the development of the post-communist nonprofit sector. The analysis begins with a review of key issues in the development of civil society and nonprofit activities in post-communist societies based upon the author's field work in Hungary and a review of secondary literature. Among the institutional areas reviewed are legal and regulatory framework, financing, organizational capacities, advocacy, and inter-sectoral relations. Particular attention is given to the comparative role of international actors in the institution building process.

The second part of the paper turns attention to theories of the nonprofit sector. The paper reviews major theoretical perspectives and assesses their contribution to the understanding of the experience of post-communist societies. Among the key theoretical perspectives addressed are

1. Social demand resulting from market and government failure
2. Supply of organization entrepreneurs
3. Welfare state development
4. Social origins theory

Preliminary findings suggest elements of each theoretical perspective are useful in understanding the evolution of civil society and the nonprofit sector in post-communist societies but that none of the perspective provide a sufficiently integrated and specific approach to the unique problems of these societies. The paper concludes with some thoughts about how an integrated theory of the post-

communist experience might be developed.

Reference:

Salamon, Lester M. and Helmut C. Anheier. 1998. "Social Origins of Civil Society: Explaining the Nonprofit Sector Cross-Nationally." *Voluntas* 9(no. 3):213-248.

Paper Number: PA021513

Paper Title: On Distinguishing Lettuce from Animals: An Empirical Approach to Classifying Organizations By Sector

Author(s):

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Summary of Research

This paper introduces a new empirical approach to defining sectors, using factor analysis and cluster analysis. Eight sectors (four basic sectors and four inter-sectors) are identified and operationally defined.

Description

Sector is one of the most important concepts in contemporary nonprofit research even though its status as an empirical concept is unclear. In conventional economic terms, sector refers to clusters of firms producing similar products (mining, construction, service, etc.) In classic social theory the concept doesn't appear at all

The problem of classification in third sector theory has been known for more than a decade. (Lohmann, 1989) The general non-distribution constraint provides some notion of a boundary definition separating third sector organizations from other types. The National Taxonomy of Exempt Entities (NTEE) has enabled intra-sector classification of exempt entities by missions, purposes and goals rather than products, outputs or outcomes, as in conventional industrial classification. But the NTEE does nothing to address the underlying problem of sectoral classification or determine the class to which the NTEE properly applies.

This paper uses set theory to introduce a new measurement protocol for classifying organizations into one of eight sectors – four basic sectors (market, state, third and household) and four hybrid inter-sectors composed of unions of the basic four. Sector is presented as an empirical, measurable concept operationally defined as a cluster (set) of similar organizations. Procedures of both cluster analysis (to identify the set of similar organizations) and factor analysis (to cluster related variables) identify the four basic sectors and four inter-sectors.

In an initial step, twenty variables derived from the literature and each scored from 5-0 are clustered into four clusters (sectors) of five variables each and labeled economy (B), polity (G), household (P) and a nonprofit, or third, sector (A). (Discrepancies between the sector name and the initials assigned are explained in the paper.) Any organization that fits perfectly "in" a sector should score 20 on that sector cluster and zero on all the remaining clusters.

The four-sector approach, however, fails to appropriately classify some of the rich and subtle variations in existing organizational types of interest to third sector research. Thus, in a second stage, Venn diagrams developed by David Billis (1993) are used to define four additional inter-sectors (denoted as GB, GA, AP and GBA). These four inter-sectors are operationally defined by two factors, a union factor, measuring key characteristics of the sectors of which it is composed and an emergent factor, measuring the unique characteristics of organizations in the inter-sector.

This paper will introduce the model and invite comment to refine and strengthen the approach. In a subsequent phase, the factor model will be tested against a 'proof set' of organizational case studies in the published literature representing all eight sectors.

Billis, David. (1993) *Organizing Public and Voluntary Agencies*. London: Routledge.

Lohmann, R.A. (1989) ...And Lettuce is Nonanimal: Toward A Positive Economics of Voluntary Action. *Nonprofit and Voluntary Sector Quarterly*. 18. 4. 367-383.

Paper Number: PA021177

Paper Title: Rising To Young's Challenge: Creating Steam Engines of Progress for Third Sector Research

Author(s):

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Summary of Research

In his President's State of the Field Address, Young (2001) issues a challenge. He states the need to clarify, galvanize and integrate the field, asking what can social scientists, managers, researchers and scholars do to be socially valuable? What is our steam engine? Answering this could mean prospering as a productive field instead of dissipating in a puff of smoke. The research proposes steam engines of progress to advance Young's goals, including through nonprofit theory development.

Description

In his President's State of the Field Address, Young (2001) presents a global vision and issues a challenge to Third Sector researchers. Specifically, he states there is need to clarify, galvanize and integrate the field more effectively and in a manner that is embraced by society at large. Young asks what is it that social scientists, professionals, practicing managers and leaders, researchers and scholars can do as a group to be socially valuable (p. 652)? Young conveys this call for greater relevance by asking: what is our steam engine? He goes on to say that answering this question could mean the difference between prospering as a productive field or eventually dissipating in a puff of smoke (p. 653). In his role as President, Young appears to question the long term survival of the field, and calls upon researchers to engage in this debate, using the steam engine metaphor, to enable Third Sector research to become more real-world relevant and valuable to society at large.

□ Young's observations of the field are sobering and present researchers no small task. His challenge appears to effectively call for an altering of the future trajectory of the field-- to help ensure its survival. The purpose of this paper is to advance the debate by exploring and identifying potential steam engines of progress for Third Sector research. While there are no doubt various steam engines, this research proposes that the creation of useful nonprofit theories and models present a powerful way to clarify, galvanize and integrate the field and do so in a way that makes the Nonprofit Sector relevant to the greater society at large.

□ This research hypothesizes this debate will be advanced through a review of prior nonprofit theory and by identifying new directions for future nonprofit theory creation to advance Young's stated goals. Many theories have been created over the past two decades. For example, such theories include: government failure/market failure theory, supply side theory, welfare state theory and interdependence theory. In fact, the critiquing of theory can lead to new theories. Salamon and Anheier (1998) found the preceding theories inadequate and proposed a new approach called the social origins theory. Other theories created and critiqued include: trust theories, public good theories, stakeholder theories and entrepreneurship theories of the nonprofit sector. Steinberg (1997), for a special issue of *Voluntas*, systematically evaluated these theories (p. 179-204). These evaluations or critiques were developed based upon the standards or criteria defined by the authors.

□ This research will review recent nonprofit theories and identify new directions for theory development to advance the state of the field. How should theories in general be evaluated? Are there overarching standards and criteria that define "good theory"? Which theories, if any, of the Nonprofit Sector reflect excellence and should be identified as exemplary? Can future nonprofit theories be created to galvanize and integrate the field while proving valuable to society at large? If so, how can this be done?

□ Langton (1987) has considered certain of these issues. He identifies different types of theory, proposes characteristics of "good theory" and develops criteria for usefulness (p. 138-141). He notes the field of nonprofit theory is not well developed and lacks a wide and fully developed range of theoretical positions which cohere in a substantial way. In reviewing the literature, he identifies various

characteristics of "good theory" listing qualitative terms including: clarity, precision, simplicity, completeness, testability, predictive accuracy, logically sound, communicable and parsimonious, citing the work of Meehan; Rudner; Shively; Argyris & Schon; and Manheim & Rich (p. 139). Langton also concludes the nonprofit field is lacking in great classics, which is an indication of the field's theoretical adolescence (p. 141).

□Langton's research was conducted in 1987. What is the state of the field and nonprofit theory today? Is there any greater consensus on what constitutes "good theory"? What are the necessary qualities and characteristics; what criteria should be used? The social origins theory has not been universally acclaimed; various researchers have responded with their own critiques including Steinberg and Young (1998), Ragin (1998) and more recently Wagner (2000). Does the social origins theory, or any other theory of the Nonprofit Sector, qualify as a theoretical classic? Are there "classics" in our midst that lie undiscovered-- and which may have the potential to transform a civil society? Can such a determination be made and, if so, what are the qualities and standards that should drive the creation and evaluation of new nonprofit theory?

□This research proposes that the creation and evaluation of new theory can be substantially informed through a review of prior nonprofit theory coupled with certain recent research including Kendall (1998), Kramer (2000), Davidkov, Hegyesie, Ledic, Randma, Behr, Kessler, Sulek and Payton (2000), Wagner (1994, 2000) and ARNOVA's Blue Ribbon Task Force (2000). This research will explore and identify potential steam engines of progress to advance the goals stated by Young, including through nonprofit theory development.

□The contribution of this research is to further the debate on the state of the field, as proposed by ARNOVA's President Young. Ideally, it will generate critiques and responses from other researchers, who may identify alternative and superior steam engines of progress for Third Sector research. This research could act as a catalyst for a special edition of NVSQ or Voluntas, ideally with Young as editor, reporting the best steam engines of progress identified by nonprofit researchers, to begin the process of identifying and building consensus on new ways to increase real-world relevance, substantially improving the future trajectory of the field.

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Paper Number: PA021343

Paper Title: Planning to train, training to plan

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Summary of Research

The rhetoric of UK and Scottish government socio-economic policy increasingly emphasises the role of community involvement in the development and implementation of initiatives, such as local and structural planning, and Community Planning.

This paper evaluates an innovative training programme, provided by Planning Aid for Scotland (PAS) designed to enable more effective community participation in planning issues that affect local communities.

The paper presents findings to date on the effectiveness of this training, and considers whether it has enabled individuals and communities to become more involved in planning processes. Finally, more general lessons for capacity-building are presented

Description

PLANNING TO TRAIN, TRAINING TO PLAN

Involving People is part of the Scottish planning system (Scottish Executive Development Department, 2001a)

This paper evaluates the Community Local Environment Awareness Raising Programme (CLEAR), an innovative training programme, provided by Planning Aid for Scotland (PAS), which is designed to enable more effective community participation in planning issues which affect local communities.

The rhetoric of UK government and Scottish Executive socio-economic policy is increasingly emphasising the potential contribution of community involvement in the development and implementation of initiatives, such as local and structural planning, Community Planning, Social Inclusion Partnerships and Local Rural Partnerships.

Involving the public is an important feature of the planning system and councils must do this by law. Two main ways in which people and communities can become involved are:

- contributing to the preparation of development plans; and
- commenting on planning applications (Scottish Executive Development Department, 2001b)

The Scottish Executive state that they wish the planning system to be open and accessible to everyone regardless of their age, sex, ability or cultural background.

We want to see wider access to planning information. And we want to see clearer explanations so that people can satisfy themselves that taking part in the process has been worthwhile. We have to do this without holding up decision-making, seeking out the best ways through a combination of common sense, well-tried approaches, and new techniques (Scottish Executive Development Department, 2001a).

To facilitate this process there is growing recognition of the need for collaboration between communities and outside experts to enhance community engagement. This will result in the creation of a sustainable pool of human capital to further promote and continue with change and regeneration activities (Chaskin, 2001). This has been recognised by the Scottish Executive.

For many people, learning and involvement go hand in hand...In recent years, Planning Aid [PAS] volunteers have helped people and communities to get involved in planning more effectively (Scottish Executive Development Department, 2001a).

Such capacity building facilitates 'the community's ability to pursue its chosen purposes and course of action' (Fawcett et al., 1995, p.682).

PAS is a voluntary organisation run by qualified and experienced town planners who give free advice and information on all aspects of town and country planning and related issues to individuals, community councils, tenants associations and voluntary organisations. PAS is an independent charity, which is supported by the Royal Town Planning Institute and Scottish local authorities. PAS volunteers only provide training and other advice to communities outwith their own 'professional' locality.

PAS exists to promote general awareness of and meaningful community participation in democratic decision-making processes which affect the natural and built environments, operating in a participatory way by facilitating and empowering others and complementing statutory bodies by working closely with the beneficiaries of effective and sustainable community participation.

This paper focuses on the initial evaluation of PAS's CLEAR programme which encourages people to be more involved in community activities by enabling community groups and activists to make a meaningful contribution to local planning processes, these outline what will happen in their communities and localities for the next 5-15 years. The aim of this programme, which has been funded by the Community Fund, is to:

...empower the participants with lifelong skills of disseminating and understanding information which is normally outside the experience of the lay person. It takes the 'mystique' out of planning documents, explains the concepts, relates the document to things happening on the ground and clarifies any jargon/specialist language. The training will help citizens to reclaim their stake in the development of their communities (Lottery Application Form).

The CLEAR programme therefore provides the opportunity for an empirical study examining community development, which has been defined as:

...a range of practices dedicated to increasing the strength and effectiveness of community life, improving local conditions, especially for people in disadvantaged situations, and enabling people to participate in public decision-making and to achieve greater long-term control over their circumstances (Community Development Foundation, 2001).

The CLEAR programme operates in two stages:

1. □ Community groups prepare for learning about the planning process by identifying issues that concern them.
2. □ Community Training Workshops – individuals and community groups attend a one day training event tailored to respond to the issues raised in the first stage.

The research study has been undertaken by independent evaluators who are evaluating not only whether 'citizens' and community groups have learned from the process of the training workshops provided through the CLEAR programme, but also aims to assess whether the training has had any impact on citizen participation in planning processes. Research methods include observation of training workshops across a geographical cross-section of Scotland (including urban, rural and remote rural areas), post-course questionnaires, focus groups with participants 3 months after completion of the workshop, questionnaires to participants one year after completing the training and interviews with a range of stakeholders including central and local government representatives, community groups and professional bodies.

The paper presents findings to date on how effective this training has been, and considers whether it has enabled individuals and communities to become more involved in planning processes. Finally, more general lessons for capacity-building are presented.

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Paper Number: PA021523

Paper Title: Ties that Bind? An Empirical Study of Value Hierarchy and Consensus in the Voluntary Sector

Author(s):

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Summary of Research

Values play an instrumental role in voluntary sector organisations. It is also widely reported that there are “common values” which are held across the sector. The purpose of this research initiative was to explicitly measure the values held by voluntary sector organizations, and assess the degree of value consensus across a systematic sampling, namely hospice organizations in the UK. Implications of this research are a determination of the actual degree of value consensus within the voluntary sector, and its implications for management and relationships between the voluntary sector and government, the private sector and other voluntary sector organisations.

Description

TITLE: Does Value Consensus Really Exist in the Voluntary Sector?

Key Words: Values, voluntary sector, hospice, consensus

Issue

Research has demonstrated that values play an instrumental role in voluntary sector organisations, and further that there are “common values” which are held across the sector. However, there is little empirical evidence that this is, in fact, the case. The purpose of this research initiative was to explore if espoused voluntary sector values are indeed held by individual organization leaders, and if so, to measure the extent to which these values were held in common across a systematic sampling of voluntary organizations, namely hospice organizations in the UK. Implications of this research include the use of a standardized value survey tool to measure value consensus within the voluntary sector, and the contribution of an explicit knowledge of values as a management resource, and in negotiating contracts or policies with government, the private sector or other voluntary sector organisations.

Values and their relationship to the Voluntary Sector

Values are (1) concepts or beliefs, (2) pertain to desirable end states or behaviours, (3) transcend specific situations, (4) guide selection or evaluation of behaviour and events, and (5) are ordered by relative importance (Schwartz 1987)

What kinds of values are there?

Values can be divided into three universal requirements: biological needs, requirements for coordinated social interaction, and welfare and survival needs of groups. Individuals learn to reflect these requirements as goals and values. According to Rokeach, one has terminal or end values (equality, wisdom) and instrumental or means values (modes of behaviour: capable, obedient) (Rokeach 1973). Other researchers have identified distinct institutional and social class and sub-cultural values (Kilby 1993). Within the voluntary sector many researchers have ascribed values to the sector, some independently; others through an iterative consultative process (O'Connell 1988). In the UK, the only system-wide survey of values which has been conducted within the voluntary sector identified a general cluster of values and the extent to which they were or were not shared within two different types of organizations, namely those who provided service to those in need (social order) and those who identified with those in need (social change) (Gerard 1983).

The voluntary sector literature has ascribed a wide range of values as being shared and ascribed to the Voluntary Sector (Gerard 1983; Jeavons 1992; Leat 1995; Paton 1996; Paton 1999). Yet none of these

values which are ascribed to the sector, and are deemed to be critical to both the identify and the role of the voluntary sector, has been empirically measured. The purpose of this research was to partially address this issue by conducting a survey of hospice chief executives and trustees across the UK.

Who holds values in a voluntary organization?

The board and senior management of an organization are commonly recognized as the values holders. Because of continuity of presence and the intermediary role played by most directors, the CEO and Chair, Board of Trustees were assumed to be the primary value holders for this study. The following hypotheses were tested in this research project

(1) A subset of organizations within the voluntary sector hold values which are viewed as distinctive of the voluntary sector.

(2) Value consensus exists within and across a subset of organizations within the voluntary sector.

(3) Value consensus exists among board and senior staff of a subset of organisations within the voluntary sector.

Methodology

The methodology selected took into account the hypothesis posed, extent of researcher control over behavioural events and the focus on contemporary as distinct from historical events. Therefore, the methodology consisted of a combination of a standardized values survey which has been used as a means of measuring universal values in more than twenty countries (Schwartz, 1992) and expert interviews which were intended to triangulate the survey results (Schwartz 1992; Yin 1994).

A systematic sampling of 74% of eligible hospices from a national directory of hospices across the UK was undertaken. Children's hospices and those which were fully or partially managed by the NHS were not included, leaving those which were voluntary and independent. Of the 177 hospices which were eligible, surveys were sent to 132. At the time of writing, the response rate has been 48%.

Respondents were asked to rate each of 56 single values "as a guiding principle in my life" on a 9-point scale ranging from 7 (of supreme importance) to -1 (opposed to my values). To index the importance of each value type, the mean ratings given to single values that represent it will be arranged. Individual differences on these values indexes have demonstrated meaningful associations with a wide variety of attitudinal, behavioural, and back-ground variables (Roccas and Schwartz 1997; Sagiv and Schwartz 2000)

The value types which will be analyzed are as follows: self-direction, stimulation, hedonism, achievement, power, security, conformity, tradition, benevolence, and universalism. Variables which will be explored in the analysis will include, among others, age/sex; volunteer/paid position; religiosity, political preference, and group identify. (Dissertation research to be completed by June 15, 2002).

Contribution to the field

It is acknowledged that organizations across the voluntary sector hold a wide variety of deeply held values. Values underpin both explicit and implicit policies and reflect deeper views of the world and the nature of life within it (Billis 1996). It is these core values which define both the essence of the voluntary sector, and its greatest challenges.

Expressions of collective values pertaining to the voluntary sector are also prevalent in agreements between voluntary sector representatives and the state as reflected in the state-voluntary sector accords/compacts signed in Canada, Scotland, England, Wales and other several other countries. This research is intended to shed light on the values held by a particular sub-set of the voluntary sector. It is hoped that the results will demonstrate both the actual extent to which values are held in common in the voluntary sector, and how strongly they are held. This research is also intended to contribute to the

issue of the importance of values held by voluntary sector organizations, and their role in voluntary sector management, as well as contractual and policy negotiations with either the private sector or the state.

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Paper Number: PA021582

Paper Title: Collaboration, Competition and Clusters: the voluntary sector and regional development in the UK

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Summary of Research

Collaboration via joint working and mergers continues to attract attention within the UK voluntary sector. Whilst some of this interest is media driven (particularly regarding large charities), development agencies' interest in collaboration relates to smaller voluntary organisations and their need for 'sustainability.' This paper examines how the cluster development model, usually applied in the private sector, might be an alternative tool for collaboration and also a stimulus to the voluntary sector's contribution to regional economies. A discussion of the cluster concept is followed by a case study of the East Midlands voluntary sector, where the concept is being tested.

Description

Collaboration, Competition and Clusters: the voluntary sector and regional development in the UK.

Summary

Collaboration via joint working and mergers continues to attract attention within the UK voluntary sector. Whilst some of this interest is media driven (particularly regarding large charities), development agencies' interest in collaboration relates to smaller voluntary organisations and their need for 'sustainability.' This paper examines how the cluster development model, usually applied in the private sector, might be an alternative tool for collaboration and also a stimulus to the voluntary sector's contribution to regional economies. A discussion of the cluster concept is followed by a case study of the East Midlands voluntary sector, where the concept is being tested.

Introduction

The establishment in the UK of Regional Development Agencies (RDAs) forms part of a broader architecture to address social and economic inequalities in the UK regions. Driven by distinctly uneven geographical development within the UK and poor performance within an EU context (only 2 of 12 regions have a per capita GDP above the EU average), the RDAs' remit to boost regional competitiveness can be set against an increasing interest in the 'social economy' and awareness amongst government of the potential of nonprofit organisations.

Competition and collaboration in the UK voluntary sector

Within the voluntary sector, a long period of growth has been marred by continuing concerns over the sustainability of small and medium sized organisations: much of the recent growth in resource inputs pertains to large, national charities (Jas et al, 2002). Moreover, strategies to encourage the sustainability of voluntary organisations in the UK voluntary sector have in general focused upon the diversification of income streams and the search for new resources, often at the expense of collaboration. Competition is arguably a greater driving force, with collaboration and full-blown mergers seemingly restricted to a relatively small number of high profile examples such as Cancer Research UK. Indeed, it has been argued that more informal collaboration such as the sharing of information is being driven out of the sector by increased competitive pressures (Passey et al, 2002). Whilst there is evidence of joint working between small groups of voluntary organisations to maximise resources (such as joint marketing or purchasing), collaboration on a broader scale is rare.

Clusters: a model for broader collaboration?

"Clusters are places where relationships are started and maintained by people, by the citizens of a

territory, linked through various historic and social ties”
(OECD, 2001)

In contrast, for-profit organisations often see collaboration with suppliers (and each other) as a route to increased competitiveness. Such notions underpin the success of industrial “clusters” such as financial services in London or high-tech industries in Southern California. Moreover, the identification and selection of industrial clusters is a well-established tool to boost the competitiveness of regional economies competing on a global stage. By encouraging collaboration between enterprises, vertical and horizontal linkages are strengthened, which in turn strengthens the competitiveness of the cluster as a whole.

The cluster concept has largely been applied to for-profit industries, yet voluntary organisations display many similar characteristics to for-profits, such as similar supply-chains and similar markets (beneficiaries/users) and similar. For competitiveness and profit maximisation in the private sector, is it possible to read sustainability and resource maximisation in the voluntary sector?.

Paper contribution

The problems addressed by this paper is as follows:

- How might the cluster development model be applied to the regional voluntary sector in the UK? Are voluntary organisations ever the basis for clusters?
- Can the model be adapted sufficiently to take account of the geographically disperse nature of the voluntary sector?
- What might be the outcomes of applying the model?

Relevant literature on collaboration in the UK voluntary sector includes work by Bruce (1997), Guthrie (1999) and Mather (2000), though the focus of such work is on joint working between small numbers of organisations. Cluster development in the private sector has been the subject of particular interest, including work by Porter (1990), whilst the OECD remains interested in the practical application of clusters (OECD, 2001).

The literature relating to cluster development in the voluntary sector is more limited, in part due to different interpretations of what clusters might be. Where the cluster technique has been employed, it has been used in the arts and education industries. In contrast, this paper will look at the voluntary sector as a generic industry. The paper is action oriented. It looks at the potential for cluster development as a prelude to the testing and application of a model in the East Midlands region of the UK.

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Paper Title: Building Institutional Capacity for the Development of Cooperative Government/NGO Relations to Russia

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Summary of Research

The paper analyzes a case of institutional capacity building in Russia whose purpose was to increase knowledge of government officials about the social purposes and administrative challenges of NGOs, and to build cooperative government/NGO relationships. Through a three-year State Department funded project, 23 faculty from the Russian Academy of Government Service and the Centre for Social Partnerships, were given intensive training in NGO administration and NGO/government relations. The case analysis contributes to better understanding of conditions affecting Russian government/NGO relations and helps identify realistic capacity building goals.

Description

The nongovernmental (NGO) sector has been growing steadily in Russia over the past decade (Belyaeva 1997). Groups of people have come together to pursue a wide variety of charitable and social service missions such as supplying relief to victims of Chernobyl and providing art education and recreation for orphans. Sector development has been especially strong in Moscow. The Moscow government has written its own laws governing the registration and regulation of NGO organizations and NGO organizations in the city have been primary beneficiaries of international aid. However, NGO sector development has not been restricted to Moscow. For example, the Novgorod regional government in the western part of Russia has a reputation for being innovative and entrepreneurial. The region has not only successfully attracted foreign business investment to build up the local economy but has also successfully built up its NGO sector (Petro 1999).

□ While NGOs in Russia have received some encouragement from the federal and regional governments, the distance between the government and NGO sectors is still fairly wide. Government officials tend to have little knowledge or interest in how NGOs are organized, how they pursue their missions and their potential contributions to society and the economy. NGOs, while desirous of government financial support, are often distrustful of government, fearing that government officials might use their powers to destroy or control NGO organizations.

□ This paper analyzes a program whose purpose is to help build institutional capacity in Russia for the development of cooperative government/NGO relationships. Through a grant from the Bureau of Educational and Cultural Affairs of the U. S. State Department, for the past three years the authors of this paper have been working with the Russian Academy of Government Service (RAGS) and the Centre for Social Partnerships (CSP) to develop training programs, university courses and research projects focused on government/NGO relations and NGO administration.

RAGS, which operates under the President of the Russian Federation, is the institution responsible for training all government officials. To improve their knowledge and skills and to be eligible for promotions, government officials throughout Russia come to RAGS to participate in its training programs. The RAGS headquarters, located in Moscow, brings government officials from all over the country for training. In addition, nine regional RAGS institutions and facilities located throughout the regions provide extensive training. RAGS also sponsors university-level degree programs for students preparing for employment with the state.

CSP was originally organized in Moscow as a project of the United Nations Development Programme. The mission of CSP is to help encourage development of the NGO sector, improve relations between government and NGOs, and provide technical assistance to new and existing NGO organizations. It is directed and staffed by Russian citizens.

□ The primary goals of this project were to build up the knowledge and expertise of faculty and staff of RAGS and CSP on NGO administration and NGO relations with government, and to build RAGS' NGO training and educational curriculum. Through the expertise they acquired and through the newly

developed training and educational courses, program participants would work to inform government officials about the structure, management and societal contributions of NGO organizations and influence cooperation between the government and NGO sectors.

Over a two year period four groups of faculty and staff from Russia were brought to our university for an intensive month-long course of study. Altogether, 23 persons participated in these programs. Out of each group, two persons stayed on an additional two months for further study and research. These persons in particular are expected to provide leadership in curriculum development and research in Russia. Each course of study involved seminars, directed and independent reading and research, site visits with nonprofit organizations and government agencies, attendance at conferences, social and cultural activities, and travel.

Upon their return to Russia, participants were to begin development of new NGO training courses for government officials, integrate NGO subject matter into existing courses, and plan for related activities such as community forums, research projects and training programs for NGO officials. The project leaders remained in e-mail contact to give assistance when needed and made site visits to Russia to observe developments.

Recognizing the centrality of government action, participants were especially interested in learning about how governments and NGO organizations interact. Furthermore, since government officials are their primary audience for the training programs, it was felt that new training programs and new materials for existing courses should not only inform RAGS training participants about NGO administration, but should also focus on how the two sectors might cooperate with each other. Thus, a strong emphasis was to be given to NGO/government interaction in the new programs that were to be developed.

In this paper we will analyze institutional capacity building in Russia at the end of the third year of the project by assessing success in implementing new training programs and related activities, examining planned curriculum and educational changes, and evaluating potential impacts of these activities on creating cooperative government/NGO relations. Data will be gathered from the following sources: (1) RAGS and CSP participants' evaluations of the training programs they experienced in the United States; (2) documents prepared by the participants specifying curriculum changes they have introduced as well as other related activities; (3) papers presented by individual participants at a professional conference in Russia organized as part of this project; and (4) intensive interviews held with participants in Russia during the third year of the project.

This analysis will yield important information about the ability of agents from outside Russia to affect institutional capacity building specifically related to NGO/government cooperation. Government and international aid agencies flooded Russia and Eastern Europe after 1989 to promote democratic governance, build the third sector, promote capitalism, create a new civil service in the post-communist states, and instill new educational methods. The effects of these multiple institutional capacity building efforts are not often measured.

Capacity building initiatives sponsored by institutions from "northern" or the more economically developed countries have drawn close scrutiny. They have been criticized as too often being "ad hoc, one-time provisions of support, often undertaken with little sense of how this will contribute to an immediate goal, much less a broader one of strengthening civil society" (Hudock 1999, p. 37). Sponsors of capacity building initiatives are being challenged to rethink their strategies and goals. Given the daunting social and economic problems faced by so many countries, it has been observed that capacity building efforts should be directed more toward creation of indigenous organizations with strong "learning cultures" and which are flexible and responsive to societal change (Lindenberg and Bryant 2001). Helping local institutions to develop strategies for resource mobilization so that they become self-supporting and organizationally strong is being given more emphasis (Holloway 2001). Private voluntary organizations in the United States have been advised to guard against establishing accountability standards that better fit the needs of the funding organization than the needs and demands placed on the partner NGOs (Ashman 2001). It has been observed that "NGOs now exist in a global marketplace of altruism" (Dichter 1999, p.55), the commodification of good will, and that northern NGOs need to rediscover their souls and return back to their basic service values (Salm 1999).

In this critical, dynamic climate, it is important that we learn from capacity building experiences so that programs might be better crafted to achieve their purposes or reformed to establish realistic goals. This paper will contribute to that broader effort by closely examining the effects of an institutional capacity building initiative in Russia. Through this study, we hope to better understand current conditions that affect cooperation between the Russian government and the NGO sector, and identify institutional

capacity building goals and strategies that are realistic and which hold out the prospect of having some positive influences on development of cooperative relations between government and NGOs in Russia.

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