

Paper Number: PA031301

Paper Title: Electronic Advocacy and Mission Advancement:

Author(s):

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Summary of Research

This paper presents the results of in-depth interviews with twenty African American advocacy organizations with a presence on the World Wide Web. Organizations were queried for perceptions of the utility and impact of electronic advocacy techniques on mobilization efforts and mission advancement. The idea that African Americans are mobilized to participate in advocacy campaigns through the use of group-based resources is a key assumption of this study. The findings represent the second phase of a research program to equip African American advocacy organizations with strategies to maximize use of emergent information technologies.

Description

Electronic Advocacy and Mission Advancement:
A Survey of African American Advocacy Organizations

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□ McNutt and Boland (1999) define electronic advocacy as the use of technology intensive media as a means to influence stakeholders to affect policy change. Internet-based applications such as electronic mail, list serves, newsgroups, and websites are the interactive means by which advocacy organizations engage their constituents. Electronic advocacy increasingly presents opportunities for marginalized groups to disseminate information, recruit and retain members and supporters, and mobilize citizens to lobby government on social policy issues (Hill and Hughes 1998).

□ Tate (1994) concluded that African Americans participate in politics by using non-traditional, group-based resources. Group-based resources are indigenous or community-based resources that allow blacks to participate at higher rates than expected, given their individual resources. In the new era of social advocacy, it is reasonable to extend Tate's definition of group-based resources to including contemporary means by which African American organizations can engage and mobilize their constituencies to participate in system-changing strategies. The idea that group-based resources are important mobilization factors among African Americans is a key assumption of this study.

□ This paper is part of a comprehensive research agenda assessing the importance and utility of electronic advocacy use among African American organizations seeking to mobilize, engage and empower their constituencies. Findings will be important to equip African American advocacy organizations with strategies to maximize use of emergent information technologies.

□ In the first part of this research project, I conducted a content analysis of websites to identify and describe the types of advocacy techniques currently used among twenty African American advocacy organizations. Findings indicated that most organizations used electronic mail and electronic newsletters to disseminate information about relevant issues. The data also revealed the potential for greater use of more sophisticated techniques, such as electronic petitions and action alerts, to advance advocacy goals.

□ The current phase of this research agenda looks more closely at the organizations previously sampled to determine whether electronic advocacy techniques help fulfill an organization's mission, goals and objectives. To that end, this paper presents the research results and implications of in-depth interviews with representatives of the twenty advocacy organizations. In particular, I detail perceptions about the use of electronic advocacy to augment traditional advocacy techniques. I also discuss the extent to which organizations viewed electronic advocacy as complementary to mission advancement.

□ The findings have important implications for future research and practice. The data strengthens the paradigm related to electronic advocacy by adding empirical data on a specific sub-group of a larger

electronic advocacy population. The findings also are useful identifying best practices and barriers related to electronic advocacy use. As a result, organizations can more effectively use this type of advocacy to enhance their ability to mobilize African Americans on important social and economic issues. □□□□□

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Paper Number: PA031303

Paper Title: Dynamic and Non-linear Relationships between Network Structures and Network Performances

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Summary of Research

This study presents a comprehensive model of dynamic and non-linear relationships between network structures and network performances. Static descriptions of network structures on network performances may be misleading or erroneous by the influence of their interdependence or other intermediating factors. Network structure is one of the explanatory variables to explain network performance, but its effect may be slightly small or not quite certain. Within this context, the study discusses the comprehensive model composed of three intermediating dimensions (network social capital, network management, and network learning), and then examines existing research results.

Description

This study presents a comprehensive model of dynamic and non-linear relationships between network structures and network performances. Static descriptions of network structures on network performances may be misleading or erroneous by the influence of their interdependence or other intermediating factors. Network structure is one of the explanatory variables to explain network performance, but its effect may be slightly small or not quite certain (Gould 1993; Provan & Milward 1995; Burt 1997; Topper & Carley 1997; O'Toole and Meier 1999; Carley and Krackhardt 2002; Schneider et al. 2003). Within this context, the study discusses the comprehensive model composed of three intermediating dimensions (network social capital, network management, and network learning), and then examines existing research results.

The first dimension of network social capital may influence network performances (Granovetter 1995; Burt 1997; Uzzi 1996). However the direction of the influence may be contingent upon the degree of hierarchy, mutual trust and reciprocity (Uzzi 1997; Schneider et al. 1997). This study further argues that the network social capital can be affected by the network structure (i.e., weak and strong ties), as well as impacting the network management (See Provan & Milward 1995; Meier & O'Toole 1997; McGuire 2002).

The second dimension of network management (i.e., structural network contexts, program stability, or ability of information flow) indicates that the utilization of managerial choices varies across time and space within given contexts or situations (McGuire 2002; Carley & Hill 2001). Researchers therefore must understand how and why managerial resources are reallocated over time and space (Agranoff & McGuire 2001). In a sense, the factors of network management may be influenced by the network social capital and the network learning factors.

The third dimension of the network learning illustrates that network participants can share information and professional norms through their social networks (who knows who), knowledge networks (who knows what), and information networks (what informs what). (See in detail Carley's (2002) description) The role of network learning is to link previous or current network performance feedback to the dimension of network structure and network management.

The study is based on surveys and interviews with customers and managers of "one stop centers" within the Regional Workforce Boards of a southeastern state. Study findings seek to develop current theoretical arguments on the effects of network structures on network performances, as well as provide practical implications on collaborate strategies for policy makers and practitioners.

Paper Number: PA031307

Paper Title: Theoretical Perspectives on the Social Environment to Guide Nonprofit Management: An Organization-In-Environment Approach

Author(s):

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Summary of Research

This paper introduces a conceptual framework called Organization-In-Environment intended to help nonprofit managers understand the complexity of the social environment. The model is based on three assumptions. First, organizations and communities are embedded in large, complex macro systems. Second, nonprofit organizations are civic actors with the potential to strengthen communities and to help change inequities set in larger systems. Third, a commitment to social justice is a core principle of nonprofit management. Implications are drawn for management practice that emphasize an organization's external relations and their political dimensions: strategic management, interorganizational collaboration, community building, and regional action.

Description

1. Problem/Issue to be Addressed

While an extensive literature offers nonprofit managers theoretical guidance to manage internal operations, less attention has been paid to the dimensions of the nonprofit organization's turbulent external environment (Gummer, 1990). Of particular interest are community-oriented nonprofits with social change goals that operate in rapidly changing community contexts. For example, existing research points to the intersection of several forces in American cities that have led to the increased spatial concentration of poverty, and the clustering of poverty with other forms of social and economic disadvantage in neighborhoods and communities (Gephart, 1994; Wilson, 1996). Practitioners concerned with community building and civic improvement need to (1) critically examine how macro level factors affect the lives of neighborhood residents and consumers, and (2) work to ameliorate the social problems in these neighborhoods by increasing social networks and contributing to civil society (Backman & Smith, 2000).

The purpose of this paper is to examine the concept of the social environment and to consider some theoretical perspectives for nonprofit managers related to an organization's external environment. This paper will introduce and explain a model called the Organization-In-Environment, a newly developed approach offered as theory for practice.

2. Relation to State of Knowledge in the Field

Recent research on neighborhood poverty and environmental factors suggests that the concept of social environment becomes more holistic when we include the physical environment, especially in relation to land use and population distribution (Brooks-Gunn, Duncan, & Aber, 1994; Norlin & Chess, 1997). The question for nonprofit managers is how do they understand the social environment in this way, and how are they educated to manage and change it? While a discussion of the social environment usually begins with community theory and organizational theory as if they were separate topics, this paper argues that a broader and more integrated conceptual framework is needed for the educational task at hand. Communities and organizations are located in larger, complex systems as part of an ecology of shifting resources and constraints. This paper will build on social systems and ecological theories by focusing on the political economy, (Feagin, 1998), community vertical and horizontal linkages (Warren, 1977; 1978), organization/environment relations (Aldrich, 1979; Hasenfeld, 1983; Schmid, 2000), and interorganizational collaboration (Alter & Hague, 1993; Bardach, 1998; Gray, 1989; Provan & Milward, 1995).

3. The Approach

This is a conceptual and theoretical paper based on (1) a review of a multi-disciplinary literature from sociology, urban planning, policy studies, and social work, and (2) the author's empirical research. The Organization-in-Environment model was developed and refined over the past several years, and has been tested in the classroom as an approach to teach human services management at the graduate level.

The model seeks to capture the dynamic nature of complex events and relationships, external to a nonprofit organization's boundaries, as they continuously emerge, intertwine, and evolve. The model depicts a social environment in which communities and organizations are part of larger systems or levels of influence.

4. Contributions to the Field

The theoretical concepts presented in this paper can be used to guide and inform a more comprehensive understanding of communities as they exist today and the role of nonprofit social organizations within them. If networks are the future institution as Alter and Hague (1993) suggest, and nonprofit leaders play key roles in them as conveners, brokers, and negotiators, as Kanter (2000) suggests, then emphasis on external relations and theoretical development of organizations in their social environments will help to advance the field.

Paper Number: PA031308

Paper Title: Calibrating the Reliability of Publicly Available Nonprofit Taxable Activity Disclosures: Comparing IRS 990 and 990-T Data

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Summary of Research

We examine the reliability of the taxable revenue disclosures on the IRS 990 using a unique matched sample of otherwise confidential IRS 990-Ts and publicly available IRS 990s. We begin by using various correlation analyses to assess reliability and then conduct additional analyses intended to uncover and further examine differences in the reported amounts of taxable revenues across the two IRS forms. Nonprofits' taxable commercial activities are their fastest growing revenue source. Ascertaining the reliability of the taxable revenue disclosures on the 990 is valuable for researchers seeking to increase our understanding of nonprofits' taxable activities.

Description

Abstract

The public availability of nonprofit financial data as contained on the Internal Revenue Service (IRS) Form 990, which contains financial and non-financial information on nonprofits' total activities, has permitted researchers across various disciplines to identify and address many important issues in the nonprofit sector (Froelich et al. 2000). Because researchers and the media often use this data, Froelich et al. (2000) examine the accuracy and completeness of the financial statement data by comparing the data reported on the IRS 990 with the audited financial statements (making the case for the audited financial statements being more accurate due to accounting certification and possible penalties for misstatement). The purpose of this paper is to extend this literature by calibrating and examining the reliability of the taxable revenue disclosures on the IRS 990. Although generally free of income taxation, nonprofits are subject to an unrelated business income tax (UBIT) on revenues generated from unrelated commercial ventures. Unrelated revenues are nonprofit's fastest growing revenue source, roughly doubling every five years. The percentage of nonprofits reporting taxable activities has increased from less than five percent in 1975 to over 14 percent in 1999 (United States Department of the Treasury 2000).

Nonprofits report the detailed results of their taxable activities (i.e., revenues, expenses, taxes) on their tax return, the IRS 990-T, which unfortunately is not publicly available. However, the publicly available IRS 990 includes summary measures of taxable revenues. We compare the amounts of taxable revenues on the two IRS forms and consider deviations from the IRS 990-T to be errors. There are several reasons that we believe the IRS 990-T is more likely to be correct and any error would reside on the IRS 990. First, the IRS 990-T is an income tax return while the IRS 990 is an information return. The penalties for preparing an incorrect tax return are much more severe than those for preparing an incorrect information return. Second, the amount of taxable revenues reported on the IRS 990-T affects the amount of taxes paid (i.e., cash payments), while amount reported on the IRS 990 involves no direct cash payments. Finally, IRS 990s are infrequently subject to IRS audit, while IRS 990-Ts are audited at approximately the same rate as individual and corporate income tax returns.

Although in theory the amount of taxable revenues reported on the publicly available IRS 990 should tie to the confidential IRS 990-T, there are several reasons that in practice they may not. First, prior research shows that, although summary figures such as total assets and total revenues are generally accurate, many of the detailed and supporting entries on the IRS 990 contain error (Froelich, Knoepfle, and Pollak 2000). Because the amount of taxable revenues is a supporting entry that is contained in the very last page of the IRS 990 it may likewise contain error. (Froelich et al. 2000). Second, the IRS

990 may not be prepared simultaneously with the IRS 990-T, and the correct amount of taxable revenues eventually reported on the IRS 990-T may not be known at the time the IRS 990 is prepared and filed. Third, prior research suggests that some donors show their disapproval of nonprofits' taxable activities by reducing their donations (Yetman and Yetman 2002). Because of this, some nonprofits may intentionally understate the true extent of their taxable activities on their publicly available IRS 990s, while reporting correct amounts on their confidential IRS 990-Ts. Finally, it is possible that the two forms report different amounts of "revenues" because of the preparer's interpretation of the term "revenues". For example, revenues on the sales of taxable products could be "gross revenues" (before the deduction of any product-specific costs), or they could be "net revenues" (net of product specific costs). Although the 990-T reports gross and net revenues permitting a researcher to construct a consistent measure of revenues, researchers limited to publicly available 990 data cannot be certain whether the amount of reported revenues is gross or net.

The reliability of the taxable revenue disclosures on the IRS 990 remains an empirical question and motivates us to calibrate the reliability of the taxable revenue disclosures on the IRS 990 and to investigate the causes of any discrepancies between the amounts of taxable revenues reported on a matched set of IRS 990s and 990-Ts. Similar to Froelich et al. (2000), we conduct a quantitative analysis, which examines reliability with a series of correlation analyses across sample years as well as subgroups based on size and organizational purpose. We then examine the potential causes of differences in reported taxable revenues. Finally, we conduct a regression analysis of the organization characteristics associated with the amount of reporting error on the IRS 990. We also conduct qualitative analysis by interviewing professionals from the largest public accounting firms in the U.S. We queried these individuals as to how the IRS 990-T and IRS 990 are prepared, why the reported amounts of taxable revenues may differ across the two forms, and what their firm policy was on reporting taxable revenues on the IRS 990.

Preliminary results suggest that the amount of total taxable revenues as reported on the IRS 990 is generally a reliable representation of the true amount of taxable revenues as reported on the IRS 990-T. In particular, the two measures of taxable revenues have a Spearman correlation of over 70 percent. Results with respect to more detailed revenue classifications are less reliable where many of the correlations are less than 30 percent.

Given the growing magnitude of nonprofits' taxable ventures and the important policy issues that arise, ascertaining the reliability of the taxable revenue disclosures on the IRS 990 is valuable for researchers seeking to increase our understanding of nonprofits' taxable activities given that researchers generally have access only to the IRS 990. Generally there has been very limited research on nonprofits' taxable activities; by describing the type and availability of taxable revenue data, as well as calibrating the reliability of the data, we hope to increase awareness and encourage additional research in this quickly growing yet largely unknown area of nonprofit behavior.

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Paper Number: PA031309

Paper Title: Factors for Success in Foundations

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Summary of Research

This paper explores the factors for success in foundations which are starting up or undergoing a significant rebuilding.

The paper is based upon a series of interviews of foundation leaders, resource people and consultants. Using appreciative inquiry, the interviews identify the factors to success, including issues that are difficult to keep in balance, and relative contribution of: leadership, strategic planning, strength of the mission, the importance of the work to be done, the capacity for complexity, collaboration, innovation, and sustainability, research, planning, administration, and recruitment

The paper proposes some very interesting issues and opportunities for foundations undergoing significant change.

Description

An "Executive Summary" of the paper.

This paper explores the factors for success in foundations which are starting up or undergoing a significant rebuilding.

The paper is based upon a series of interviews of foundation leaders, resource people and consultants. Using appreciative inquiry, the interviews identify the factors to success, including issues that are difficult to keep in balance, and relative contribution of: leadership, strategic planning, strength of the mission, the importance of the work to be done, the capacity for complexity, collaboration, innovation, and sustainability, research, planning, administration, and recruitment

From an analytical framework, the foundations are categorized in a number of ways according to their structure, governance, leadership, asset development strategy, intended granting impact, and life cycle. An analysis of the interplay of these categorizations with the actual tactics and strategies used, leads to a very clear picture that the factors for success are strategically contingent to the structure, governance leadership, asset development strategy, intended granting impact, and life cycle of the organization.

These interviews also articulate the foundations strategies for occupying new spaces, and for responding strategically to changing environmental factors which are outlined briefly in the paper.

This paper addresses from an analytic framework, the factors for success in foundations undergoing significant change. This work is important because of the massive changes that the entire foundation field is undergoing in North America, and because of the lack of research in this specific area. Due to this lack of current applicable research, an extensive literature search is not utilized in the development of this paper.

This paper will make a significant contribution to the field of foundation work, to related areas of strategy and leadership, and to providing analytical and strategic clarity to support successful Foundation creation or restructuring and rebuilding in North America.

The paper is based upon the interviews of a dozen foundation leaders and a smaller number of resource people and consultants who have worked closely with foundations.

The foundations were sought to be representative of private foundations, donor led foundations, corporate foundations, foundations created by government and community foundations. The foundations also ranged from the most established to the newest foundations.

The findings of the paper signal the primary importance of focus and planning, strong leadership, and clarity of relationships and governance within the foundation. In each of these areas the successful strategies are contingent to the realities of the foundation.

The importance of each foundations capacity to develop and evolve their unique strengths is articulated in the paper. The most interesting of these strengths are the unique ability to address issues through very very long term action and strategies, and the ability of some foundations to address issues, simultaneously at the three levels of the practical, strategic and social policy level. Some foundations also benefited from a clear articulation and application of the unique strengths, assets and strategic support of the grantor beyond that of a provider of funds.

A few general trends in foundations are seen in their development and evolution. A striking trend is the gradual development of an internal power base that begins with deep personal power and evolves at times awkwardly towards deep organizational power. Difficult trajectories in this develop occur when the organizations move through superficial personal or superficial organizational power on this path. Another trend is the general evolution of foundations to become more focused, strategic and publicly accountable. All of these are very contingent to the specific realities of the foundation.

The paper also articulates as constructive points of tension, the areas of work that are difficult to balance within a building or rebuilding phase. Numerous issues of balance are explored within the organizations strategic agenda and within its grant making agenda.

The paper also explores the relative contribution of a number of specific factors. These are; leadership, strategic planning, strength of the mission, the importance of the work to be done, the capacity for complexity, collaboration, innovation, and sustainability, research, planning, administration, and recruitment in the building or rebuilding efforts.

The two issues of strategies for sustainability, and strategies for establishing accountability (and analyzing impact and outcomes) are dealt with in some depth, and yet are identified as issues that require significant further research and thinking within the foundation community.

The importance of this paper is not just in the articulation of the issues, but also in the application of an analytic framework that sheds light on a wide range of contingent strategies. These strategies not only lead to a set of issues for further investigation, but they also lead directly to a set of strategies and tactics that foundations can apply now to improve the success of the building and rebuilding efforts. The conclusions of this paper will be of interest to academics and foundation leaders alike.

This paper is based upon the author's successful major paper for completion of a Masters in Management degree for the McGill McConnell Masters in Management Program at the School of Business at McGill University in Montreal.

The author of the paper has over 20 years experience in senior staff and volunteer roles within the voluntary sector, is currently CEO of a new national foundation in Canada, and is former national President and CEO of the United Way of Canada - Centraide Canada.

Paper Number: PA031310

Paper Title: Donor Research Project in Communities of Color and Among Women--the Interviews

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Summary of Research

The paper will present findings from interviews with donors of color as follows:

Individual Donor Motivation

·□What motivates giving, particularly whether people are motivated to promote social change or ameliorate the status quo.

Donors' Perceptions of Nonprofit Organizations

·□How do donors perceive nonprofit organizations and how can organizations more effectively reach and partner with donors?

Actual giving in the previous year

·□How much did donors give during the previous year and to how many organizations?

Comparison of conceptual and actual

How does actual giving compare to statements made by donors concerning their philanthropic motivations and dreams?

Description

□

This is a proposal to present findings from a series of interviews undertaken with donors of color. The Donor Research Project (DRP), a work-in-progress, examines donor motivation in communities of color and among women in the New York metropolitan region. The research is funded by a grant from the Ford Foundation and by the Coalition for New Philanthropy in New York. Results from the preliminary stages of research were presented at last year's ARNOVA conference.

Introduction

In New York City communities of color now constitute the majority of the population. The white population has fallen to slightly over one-third; nearly one-tenth of New Yorkers are Asian American. The African American population remains stable at 25 percent, and the Latino population has risen to parallel that of the black community. Many suburban counties reflect the same patterns of change.

Objectives

At this stage, the research has two overriding objectives:

- To understand contemporary giving patterns and the motivations of donors of color and female donors.
- To explore ways in which nonprofit organizations can reach potential donors more effectively and be more effective partners for their donors' philanthropic aspirations.

Research Questions

The research is guided by three categories of research questions:

- What is the intent of donations made by women and persons from communities of color? Is it to sustain existing programs and projects or to generate social and structural change?
- What do prospective donors respond to in an appeal? What are the emotional/psychological

components of giving?

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

Research Stages

The research has four stages: (1) a literature review, (2) a quantitative overview of demographic and economic data, (3) interviews with donors (and professional intermediaries), and (4) focus-group meetings with staff members from selected nonprofit organizations. This presentation for ARNOVA 2003 will present findings from Stage 3 (interviews with donors).

ARNOVA Presentation

At the 2002 ARNOVA conference we presented initial findings. This included the literature review, demographic analysis, and preliminary observations from the interviews. By fall 2003, the interview phase of the project is scheduled to be completed. As of this writing almost 70 interviews have been conducted, and we expect that the analysis will be based on well over 100 interviews. Using content analysis techniques, we will tease out nuances and explain donors' motivations by using and interpreting the words of donors. Our presentation will present the first level of analysis of these interviews.

The analysis will compare donors across age groups, levels of income, and ethnicity. It will be conducted using the following framework:

Individual Donor Motivation—conceptual

·□How are philanthropic ideas formed? For people who are philanthropically inclined, how do they get there?

·□When and where does their philanthropy begin?

·□What is the source of their ideas about philanthropy?

·□What inspires people to sustain their giving?

·□How do people understand philanthropy?

·□What are their definitions of philanthropy?

·□What community are they intending to help?

·□What do they see as the relationship between philanthropy and community leadership?

·□What motivates giving, particularly whether people are motivated to ameliorate the status quo or to promote social change?

·□What are donors' philanthropic dreams?

Donors' Perceptions of Nonprofit Organizations—conceptual

·□What do donors think of nonprofit organizations and how can organizations more effectively reach and partner with donors?

·□What are donors' likes and dislikes regarding what organizations do and do not do, and how they make appeals?

·□What are donors' passions regarding previous giving?

·□What do donors see as their most successful gifts?

·□What, if any, are donors' regrets about previous giving?

·□What do donors see as the role of nonprofit organizations in solving society's problems?

·□What is the decision-making process donors use before making contributions?

·□What is the need for financial planning advice and assistance?

Actual giving in the previous year

For donors' largest and second largest gifts made in the previous year we will analyze the following:

·□How much did donors give during the previous year?

- How many organizations did they give to?
- How much of their giving was charitable vs. political?
- To which organizations (by name) did donors give their largest gifts and why? And what is their relationship to the organization—alumnus, board member, volunteer, parishioner, etc.?

A comparison of the conceptual and the actual

This section will compare the actual giving to statements made by donors concerning their philanthropic motivations and dreams.

Contribution to the field.

In our paper for the 2002 ARNOVA conference we presented a full discussion of the relevant literature.

There have been a number of noteworthy projects that have increased our understanding of donor motivation in communities of color and among women. These include the Cultures of Caring project, Independent Sector surveys, the work of the Urban Institute and the efforts of such scholars such as James Joseph, Emmett Carson and Michael O'Neill.

Though sharing a common focus on communities of color with the above works, the DRP is specifically focused on communities of color and women in the New York metropolitan area. The important work of Emmett Carson and James Joseph has helped lay the conceptual and historical ground for the DRP. The multicultural curricula developed by the Center for the Study of Philanthropy helps extend that broad definition of philanthropy to a range of racial, religious, and ethnic groups in the U.S. and is inclusive of women.

In sum, the DRP is designed to build on the current work in the field. The number of interviews envisioned is an attempt to systematize an area of knowledge, which is characterized by anecdotal information. It is the objective of the researchers to achieve a critical number of interviews so as to conduct a meaningful analysis of the data.

Paper Number: PA031311

Paper Title: California Nonprofits: How Does Integrating the Major Sources of Statistical Information Increase Our Understanding of the Sector

Author(s):

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Summary of Research

In this paper, we present the results of our work integrating the major sources of statistical information in two California counties. We discuss how our knowledge of the numbers of nonprofits in the state is appreciably expanded when we combine data from the Internal Revenue Service, the California Secretary of State and the California Attorney General's Registry of Charitable Trust taken together, rather than separately. Based upon survey and statistical work, we discuss the reasons why organizations are not found in all three sources. Finally, we compare what we have found to what Gronbjerg's group has found in Indiana.

Description

There is widespread agreement that the Internal Revenue Service Business Masterfile (BMF), the most typically used source of statistical information on nonprofits, provides an only partial source to understand the numbers of organizations in existence (Dale, 1993; Gronbjerg, 2002; Institute for Nonprofit Management, 1995; Gronbjerg and Paarlberg, 2001; O'Neill, 2002). Very small organizations – those with annual revenues of under \$5,000 - are not required to file for a tax exemption at all. Those with revenues of between \$5,000 and \$25,000 are not required to file annual tax returns, and thus may remain counted when in fact they are no longer in existence. Religious organizations are further exempt from registration.

There are other sources of statistical information on nonprofits available from state and other entities. They may incorporate, and thus can be found through Secretary of States' listings of incorporated organizations (SoS). State Registry's of Charitable Trust (RCT) may maintain listings of 501c(3) organizations. Membership listings of, for example, hospitals or social service agencies are also a possible source of information.

All these different sources create different slices of understanding of the nonprofit world. To gain a fuller picture, we would need to integrate the information from them. The difficulty in doing so is that each is created for a different purpose and there is no single unique identifier. Data integration then is not simple. Even more difficult is the ability to track organizations over time. Yet, fuller information on the nonprofit sector would help us better understand and support the sector in many ways. To take a few examples: we could see which communities are underserved by social service organizations; we could better understand the types of support that permits organizations to survive and grow over time; we could identify the types of communities that support many organizations compared to those that support a limited number.

Because of the potential benefits to be gained from data integration, there are a number of efforts underway in selected geographic locations. The most advanced effort is headed by Kirsten Gronjberg at the University of Indiana.

Here we discuss results of a similar effort in California. We have been engaged in integrating the three major sources of data (BMF, RCT, SoS) for nonprofits in two counties in the state: San Francisco and Almador. We are using this work to survey organizations about their filing status, organizational purpose and size. From Based on this work, we will discuss the following topics:

1. How many organizations can be cross-matched using existing identifiers (EIN's and Corporate ID's)?

2. How many more organizations can be located in two or more databases when we use computer assisted matching procedures based upon name and address?
3. Based upon the classification and size information in the databases, what differences are there between organizations that can be crossclassified using existing identifiers, those that can be matched by name and address and those that are found only in one or two databases?
4. What additional reasons for the lack of complete inclusion do we learn from the survey results?
5. How does what we have found in California compare to what has been found in Indiana?

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Paper Number: PA031312

Paper Title: Coalition Ministries: Religiosity Measurements and Attitudes towards Government Funding

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Summary of Research

In his first month in office, President Bush unveiled the Office of Faith-Based and Community Initiatives to promote greater participation from faith-based groups as social service providers, and to remove barriers that limit government funding of these organizations. Current debates surrounding Bush's agenda highlight the need to differentiate faith-based and secular organizations, and raise questions about the interest faith-based organizations have in receiving government funds. Utilizing national data from the Coalition Ministries and Congregations Study, this paper examines the religiosity of approximately 600 coalition ministries and analyzes the effect religious character has on organizations' attitudes towards government funding.

Description

In his first month in office, President Bush unveiled the Office of Faith-Based and Community Initiatives to promote greater participation from faith-based groups as social service providers. Bush's initiative represents an expansion of the Charitable Choice provision enacted as Section 104 in the 1996 Personal Responsibility and Work Opportunity Act. Implemented to promote partnerships between faith-based social service organizations and government agencies, charitable choice was the first legislation enacted to encourage faith-based groups to apply for government contracts by guaranteeing their right to retain a religious character.

Recognizing that regulatory and administrative issues also discourage faith-based organizations from participating as government contractors, Bush created seven Centers for Faith-Based and Community Initiatives to identify and resolve obstacles that limit partnering between faith-based organizations and government agencies. These Centers are located in the departments of Education, Health and Human Services, Housing and Urban Development, Justice, Agriculture, and Labor, and the Agency for International Development.

The current emphasis on targeting faith-based organizations to receive government funds highlights the need to identify the dimensions that constitute the religious character of a social service organization and the effect that religiosity has on organizations' attitudes towards government funding. This paper examines these questions utilizing data from the Coalition Ministry and Congregations Study, a national survey of approximately 600 coalition ministries. Often referred to as ecumenical and interfaith coalitions (see Cnaan 1999), we define coalition ministries as organizations that are 1) faith-based; 2) autonomous in terms of having an organizational board; 3) engaged in some type of social ministry; and 4) affiliated with religious congregations in some way.

A number of scholars have posited characteristics of faith-based organizations (Unruh 2001; Smith and Sosin 2001; Search for Common Ground 2002; Jeavons 1998); only two studies have examined the underlying factors of religiosity in faith-based provider organizations (Ebaugh, Pipes, Chafetz and Daniels, forthcoming; Bielefeld, Littlepage and Thelin 2002). In this analysis, we identify cultural and client-based dimensions of religiosity and use these scales to measure the religiosity of survey respondents. We then use these religiosity measurements to examine the influence that the religious character of an organization has on its attitudes towards government funding. This research provides religiosity measurements that can be used to differentiate faith-based and secular organizations, a critical analysis for determining variations in their effectiveness. It also makes a contribution to policy analysis by measuring the degree of religiosity in coalition ministries, a prevalent organizational model of faith-based providers, and examining the influence religious character has on attitudes towards

government funding.

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Paper Number: PA031315

Paper Title: Non-profits: Can they be built to last?

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Summary of Research

In their groundbreaking book *Built to Last*, Collins and Porras' state "we see little difference between for-profit visionary companies and nonprofit visionary organizations" (1997, xix). The purpose of this research is to determine if the existing framework developed by Collins and Porras for identifying and growing visionary companies can be applied to church organizations. Utilizing a modified version of Collins and Porras' methodology, survey data, case studies, and cross case analysis will be utilized to explore this topic.

Description

Purpose of the Research

In their groundbreaking book *Built to Last*, Collins and Porras' state "we see little difference between for-profit visionary companies and nonprofit visionary organizations" (1997, xix). The purpose of this research is to determine if the existing framework developed by Collins and Porras for identifying and growing visionary companies can be applied to large church organizations. Collins and Porras in *Built to Last* identified eight attributes visionary companies have in common that are not as prevalent in the non-visionary companies. They developed an extensive research framework for evaluating companies and identifying what sets the visionary company apart from its counterparts.

Review of Collins and Porras'

□ Since this research is based on a framework developed by Collins and Porras in their book *Built to Last* a major component of the literature review is a review of that work and their subsequent work in the same area. In order to apply their eight attributes to churches it is first important to understand these components in the for-profit arena. The eight components are: clock building not time telling, more than profits, big hairy audacious goals, cult-like cultures, try a lot of stuff and keep what works, home-grown management, and good enough never is (1997). Each of these components is described in depth, for example they describe clock building not time telling: Having a great idea or being a charismatic visionary leader is "time telling"; building a company that can prosper far beyond the presence of any single leader and through multiple product life cycles is "clock building" (23). This study will evaluate, based on case studies, how this specific component applies to churches. This is a particularly interesting component since nearly all mega-churches (very large churches) started after 1955, and the explosive growth of these churches did not begin until the 1980's (Thumma, 2003).

Research Methodology

□ Collins and Porras identified six criteria that companies had to meet in order to be included in the study. The criteria were: premier institution in its industry, widely admired by knowledgeable businesspeople, made an indelible imprint on the world in which we live, had multiple generations of chief executives, been through multiple product (or service) life cycles, and founded before 1950. In order to replicate the study that Collins and Porras conducted, though on a much smaller scale, surveys were sent to churches in select cities in an attempt to identify churches that are perceived as successful (admired) by their peers. Several of the criteria mentioned above were evaluated to determine how they apply to this research. Finally, Collins and Porras identified comparison companies, that were "not dog companies, nor are they entirely unvisionary . . . they are good companies . . . they don't quite match up to the overall stature of the visionary companies" (2). In an effort to follow this strategy we identified comparison churches that were successful, but didn't quite match up to the overall stature of the visionary churches. Finally extensive interviews are conducted with both the visionary and the comparison church leadership and a sample of members and employees in order to gather the information needed to complete the case studies and conduct the cross case analysis. Note: Some of

this information has already been collected and as the criteria are modified to fit churches, additional information will be collected.)

Results

This research is ongoing with preliminary results to be analyzed this summer.

Paper Number: PA031316

Paper Title: The Diffusion of Corporate Philanthropy, 1950-2000

Author(s):

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Summary of Research

This paper investigates the diffusion of corporate philanthropy by examining the inception of company-sponsored foundations in Fortune 500 firms, 1950- 2000. It concurs with the literature that political and market forces are important, however they are not sufficient in explaining the diffusion of corporate philanthropy programs. Using event history analyses of 2123 large firms, I argue that in addition to political and market forces, a firm's propensity to establish a foundation is largely institutional, e.g. temporal and industrial trends. Social and cultural pressures, both internal and external to the corporation, provide the infrastructure for corporate philanthropy.

Description

The Diffusion of Corporate Philanthropy, 1950-2000
Nicole Esparza
Princeton University

This paper investigates the diffusion of corporate philanthropy by examining the inception of company-sponsored foundations in Fortune 500 firms, 1950- 2000. It concurs with the literature that political and market forces are important, however they are not sufficient in explaining the diffusion of corporate philanthropy programs. Using event history analyses of 2123 large firms, I argue that in addition to political and market forces, a firm's propensity to establish a foundation is largely institutional, e.g. temporal and industrial trends. Social and cultural pressures, both internal and external to the corporation, provide the infrastructure for corporate philanthropy.

Following a neo-classical model, corporate contributions should be explained by evidence of profit and growth; however, studies attempting to measure returns on giving are inconclusive (Fry, Keim, and Meiners, 1982; Galaskiewicz, 1997; Garone, 1999). Organizational characteristics, such as profit and size—and by implication, tax margin—are essential, yet not the only determinants of giving. Although it is unreasonable to state that corporate philanthropy is unrelated to profits, arguably social expectations of corporate responsibility are a strong force, reflecting in formalized structures within the corporations (Useem, 1987; Hall, 1989; Galaskiewicz, 1997). Conformity to social expectations legitimizes firms and thus boosts the likelihood of success.

Institutional theory argues that organizational forms and practices become homogenous over time. Powerful forces, such as competition, the state, and professions, push organizations within a field (industry) to become increasingly similar to one another (Meyer and Rowan, 1977; DiMaggio and Powell, 1983). Mimetic isomorphism is characterized by the imitation of industry leaders by organizations in their field. While no study to date has examined this process with respect to corporate giving programs, drawing on institutional theory, I argue that the inception of corporate foundations follow an industry specific pattern which is established by the industry leader.

Data and Method

□Data were collected on 2123 publicly traded, large corporations between 1950 and 2000. For my sampling frame I used the Fortune 500 lists. In order to avoid a skewed sample, my sample was drawn from all lists published in Fortune during the period of 1954 until 2000. For this reason, in addition to containing firms that exist throughout the period, the sample also includes firms born after 1950 and firms that ceased to exist before 2000. The dependent variable is operationalized as a firm's establishment of a company-sponsored foundation. This information was compiled from several sources--the two main sources being, the National Directory of Corporate Giving and Corporate Foundation Profiles, both published annually by the Foundation Center. Independent variables exist at three levels all of which have time-varying components: the firm, industry, and year. Each firm's annual economic and financial data are taken from Standard and Poor's Compustat Industrial Annual database

and are analyzed using event history analyses (a discrete-time logit model) to estimate the hazard rate for establishing a company-sponsored foundation.

As previously mentioned, this paper makes a significant contribution to the field of corporate philanthropy by interweaving organizational sociology with the more prolific literature on philanthropy. Additionally, previous studies on corporate giving have been seriously handicapped by the use of aggregated data and rough proxies. I avoid these pitfalls since these firms have publicly available, firm-level data that ensures accurate measurements.

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Paper Number: PA031317

Paper Title: The Impact of Welfare Reform on Nonprofits in Delaware: Implementation Challenges

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Summary of Research

This study assesses the extent to which welfare reform has affected the ability of nonprofits to respond effectively to client needs and the nature of changes in nonprofit organizational structures, administrative processes, and inter-organizational relationships in Delaware. We found that the focus of welfare reform on enforcing work and establishing penalties for noncompliance has affected agencies' work with clients. Agency staff spend increasing amounts of time on welfare rules that affect their clients, particularly child care, workfare, sanctions, and job searches. Requests for basic needs and emergency assistance have increased, while documentation and paperwork are now significant administrative burdens.

Description

The social service system in the U.S. involves complex, interdependent relationships between government and private institutions. Governments provide some services directly, some services are provided through contracts between governments and private organizations, and private agencies acting on their own initiative fill some of the gaps. Significant changes in one part of this system affect other components of the network. The Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) passed in 1996, dramatically changed welfare policies, eliminating AFDC and replacing it with the Temporary Assistance for Needy Families (TANF) program and devolving decision making to the states. Welfare recipients now face time limits on eligibility for cash assistance and requirements that they must engage in work or work activities.

□Welfare reform was constructed with relatively clear (although contested) policy features, but an uncertain institutional foundation. In this respect, it has similarities to prior welfare reforms that put policy first and institutional practice later. As intermediaries between government bureaucracies and people who receive public assistance, nonprofit organizations are critical but often overlooked players in welfare reform. Attention typically centers either on policy and administrative changes that result from welfare reform or the effects of these changes on low-income women and children. The mechanisms for delivering services are often neglected in the rush to measure and assess the outcomes of welfare reform on government programs and welfare recipients. Getting an accurate picture of the government-nonprofit relationship at the state and local levels is an important component of understanding the strengths and weaknesses of this policy devolution.

Several themes recur in the literature on welfare reform, devolution, and nonprofit organizations (1).Welfare reform appears to be producing unforeseen consequences for nonprofit sector capacity and inter-organizational relationships (DeVita, 1999; Fink, Widom, Beaulaurier, Contreras, Dilley & Kissane, 2001; Hodgkinson, Ahn, Farrell, Krehely, & Nelson, 2000; Reisch & Bischoff, 2000; Reisch & Somerfeld, 2001). There is also evidence that these policy changes have intensified economic and social problems for residents of low-income neighborhoods and created increased demand for service delivery (Abramovitz, 2002; Fink et al., 2001; Reisch & Bischoff, 2000; Reisch & Somerfeld, 2001). In addition, welfare reform is being implemented based on unexamined assumptions about the role of work and family in recipients' lives and an underestimation of the supports necessary to achieve and sustain economic self-sufficiency (Abramovitz, 2002; Reisch & Bischoff, 2000; Reisch & Somerfeld, 2001; Scott, Edin, London, & Mazelis, 2000).

Using a mailed survey, in depth interviews and focus groups with agency executives and staff, and analysis of agency documents, this study assesses the extent to which welfare reform has affected the ability of nonprofits to respond effectively to client needs and the nature of changes in nonprofit organizational structures, administrative processes, and inter-organizational relationships in Delaware. In common with other studies, we found that the focus of welfare reform on enforcing work and

establishing penalties for noncompliance has affected nonprofit agencies' work with clients. Agency staff spend increasing amounts of time on welfare rules that affect their clients, particularly child care, workfare, sanctions, and job searches. Requests for basic needs and emergency assistance have increased, while documentation and paperwork are now significant administrative burdens (see also Abramovitz, 2002; Reisch & Bischoff, 2000; Reisch & Somerfeld, 2001; Fink et al., 2001).

(1) Most of the literature in this area focuses on nonprofit agencies with contracts to provide welfare reform services (see Alexander, 1999, 2000; Alexander, Nank & Stivers, 1999; Brodtkin, Fuqua & Thoren, 2002; Martinson & Holcomb, 2002; Pavetti, Derr, Anderson, Trippe & Paschal, 2000; Sanger, 2001). This paper focuses on the impact of welfare reform on agencies that do not have such contractual relationships.

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Paper Number: PA031318

Paper Title: Comparing the Finances and Operations of Professional Nonprofit Performing Arts Organizations Using National Service Organizations' Survey Data

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Summary of Research

Nonprofit live performing arts ("LPA") organizations compete for audiences, private and public charitable giving, and artistic and other resources. This paper uses data gathered from 812 LPA organizations who responded to activity surveys sent by their membership associations for opera, theatre, symphony, dance, and presenting for 2000-2001. We examine the relative condition and performance of organizations competing in similar marketplaces, using artistic discipline, size, and range of activities to differentiate between different approaches. To assess the nature of the data and its potential for future use, we examine the consistency of these data with other data sources describing LPA organizations.

Description

Nonprofit live performing arts ("LPA") organizations compete in multiple marketplaces, for audiences in the cultural / entertainment marketplace, and private and public charitable giving, and for artistic and other resources. Within the LPA field, artistic disciplines lead to different forms of competitive behavior in all of those marketplaces.

These issues have been of interest to policy-makers, managers, and researchers in cultural markets for a generation, with works by Baumol & Bowen (1966) and McCarthy et. al. (2001) representing major data studies of their respective time periods. Research studies that span the disciplines have generally used data obtained from IRS or Census data, or aggregated data gathered by the service organizations of the different artistic disciplines. There have been no notable data studies of multi-disciplinary LPA organizations that have used cross-sectional and primary data. Yet managers in all these fields are seeking ways to sustain their organizations and improve their performance.

For the disciplines of symphony, dance, theatre, opera, and presenting, much of the data that measures such activity is gathered by their national service organizations (American Symphony Orchestra League, Association of Performing Arts Presenters, Dance/USA, OPERA America, and Theatre Communications Group). In 2000, these organizations, along with Pew Charitable Trusts, formed the Performing Arts Research Coalition. One central goal of the coalition was to develop a "harmonized" set of indicators that would be collected by all the service organizations' and that be used to better understand the nonprofit professional performing arts in the United States.

This paper represents the first public report using these data, which includes responses from 812 different nonprofit arts organizations that responded to annual activity surveys sent by the five membership associations to describe their 2000-2001 season. The survey data were harmonized after the service organizations agreed on common definitions and key data elements to produce a single consistent set of data. The resulting database structure contains over 200 variables covering a broad array of information on revenues, expenses, assets, liabilities, attendance, and the use of volunteers. This, the first report on the project, will be used to establish baseline indicators that can be compared with annual survey data that will be collected by the national service organizations in subsequent years.

For this paper, we approach these data from two perspectives. From a strategic management perspective, we will examine the relative condition and performance of organizations who compete in similar marketplaces, using artistic discipline, size, and range of activities to differentiate between different approaches. How are differences between disciplines reflected in different patterns of spending? Similarly, what is the effect of scale? How do larger organizations finance their activities

compared with smaller ones, and what are the relationships between financial size and output quantity for LPA organizations?

Key measures for this analysis will include:

- The balance of income between earned and contributed, and the distribution of contributions among public and private sources
- How spending was allocated for program, administrative, marketing, and resource development purposes
- Financial ratios to measure liquidity, solvency, fundraising and marketing efficiency, and other items
- Attendance, capacity and number of public performances

Our second research question deals with is the nature of the data and its potential for future use. To assess this, we examine the consistency of these data to other sources of data on LPA organizations. By comparing some key measures that are reported both in our data set and in each organization's form 990, we will be able to partially validate the data, to see what incremental value they provide compared to the IRS or Economic Census data. As subsequent years' surveys can be used for panel studies, it will be important to have an informed sense of how the 2000-2001 data correlate to data in other longitudinal panels.

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Paper Number: PA031319

Paper Title: Understanding Charitable Giving: Comparing Generosity in Metropolitan Areas

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Summary of Research

Much of the previous research on charitable giving by individuals has suffered from data and methodological limitations that inhibit our understanding of the relative generosity of communities in the United States. Using a special set of data from the Internal Revenue Service, which includes the incomes of those who itemized deductions on the tax returns and their charitable donations, as well as secondary data from the U.S. Census Bureau and other sources, the proposed paper attempts to fill the information gap by exploring the key determinants of relative charitable giving in metropolitan regions.

Description

Although estimates of individual giving at the national level are released each year, there is little information on how levels of donations differ across the states and smaller geographic regions. Information on regional giving differences is particularly important as a faltering economy has caused some nonprofits, facing cuts in foundations and government support, to seek additional support from individuals. Charitable donations are already a key resource for many local nonprofit organizations – and becoming more important to their survival. A recent estimate suggests that private donations comprise more than 40 percent of the revenue for arts and cultural nonprofits, and 30 percent of the income of nonprofit human service providers in the U.S. (De Vita and Twombly 2002).

The support of charity runs deeply through the history and culture of the U.S., and many Americans donate generously to charitable causes. AAFRC Trust for Philanthropy reports that individual giving to charity was nearly \$161 billion in 2001, up from \$121 billion in 1996. In this uncertain environment, it is more important than ever to explore how and why individuals give to charity and search for explanations for regional differences.

The purpose of the proposed study is to expand our understanding of how much individuals donate to charity, and to explore possible reasons for differences in individual giving across metropolitan regions. This research will fill an important information gap. Although there is considerable interest in geographic differences in charitable giving, most of the work in the field has examined absolute differences in giving without recognition of the different levels of income. For example, AAFRC Trust for Philanthropy analyzed IRS data to describe contribution rates across census regions and states, but did not control for income differences at the state level. The findings, therefore, failed to address the issue of “giving effort” – that is, the relationship between the incomes of individual givers and the amount they donate. The Chronicle of Philanthropy also analyzed generosity at the state level. While the Chronicle’s study controlled for cost-of-living differences among the states, it also did not address the actual income differences in the states, or the financial resources available for individuals to donate.

The research emphasis of individual giving at the state level also obscures within-state differences. Elazar and others noted the cultural predisposition of states, the effects of residential mobility, changes in economic production, immigration, and other demographic factors have created many important differences in metropolitan areas even within specific states. The California regions of Los Angeles and San Francisco, for example, have different social and economic characteristics. Because it is vital to look beyond state-level analyses of individual giving, the proposed research focuses on charitable donations at the metropolitan level. To date, Wolpert’s work is the predominant research on differences in generosity in metropolitan regions. But Wolpert examined the flows of charitable dollars into nonprofits, leaving open the issue of how much individual donors give to charity in metropolitan areas.

The study uses a special set of 1997 individual tax return data that the National Center for Charitable Statistics at the Urban Institute obtained from the Internal Revenue Service. The data set contains the incomes of those who itemized their deductions on the tax returns and their charitable donations, divided into two income groups (those above and below \$50,000 in Adjusted Gross Income) and grouped by each zip code. For the purpose of this study, the data will be aggregated to the metropolitan level. Based on the average income and giving rates in metropolitan areas, the study will create a theoretical metropolitan area with a Relative Giving Index (RGI) that equals 1.00. Based on their AGI and average contributions to charity, individual metropolitan area scores will then be calculated as they give at higher or lower levels than the RGI of 1.00. In addition to providing descriptive rankings of metro regions by their relative generosity, the study will also use OLS regression to assess the relationship between relative giving and various socioeconomic factors.

Paper Number: PA031321

Paper Title: Reciprocal Learning: Knowledge, Practices and Relationships of Professional/Volunteer Teams

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Summary of Research

The volunteer-professional staff relationship is a distinguishing and too often problematic dimension of nonprofit functioning. Extending situated learning theory, I develop a conceptual model and research design for examining reciprocal learning in professional/volunteer dyads. The main hypothesis is that effective dyads of a fundraising professional and a high-level volunteer develop work practices and access knowledge from one another in a unique way that enhances their joint performance. Results of this research can provide guidance for scholars and practitioners interested in effective utilization of volunteer leadership in mission-critical activities such as fundraising and governance.

Description

ABSTRACT

Based on situated learning theory (Lave & Wenger, 1991; Lave, 1993) I develop and test a conceptual model and investigate the performance of two-person teams comprised of fundraising professionals and high-level volunteers in nonprofit organization settings. The main hypothesis is that effective pairs, a fundraising professional and a volunteer, develop work practices and learn from one another in a unique way that enhances their joint performance.

The model hypothesizes that effects on performance are mediated by the mode of relationship between a fundraising professional and a volunteer. Mode 1 is characterized by standard resources management practices which, when applied to volunteer management, focus on development of the volunteers' skills through training for the performance of assigned tasks and on the use of public recognition as incentive for performance (Cnaan & Cascio, 1999). Mode 2 is characterized by greater scope and intensity of training/learning practices and especially the use of situated learning practices, such as provision of opportunities for limited peripheral participation in performance of the practice; reciprocity in accessing and utilizing the domains of knowledge of team members; and more frequent interaction in joint planning and monitoring practices.

Modes of relationship are operationalized using extant measures of goal orientation and trust. Goal orientation is a dispositional trait with two dimensions: performance orientation and learning orientation (Button & Mathieu, 1996). The theoretical rationale for using goal orientation to represent a portion of the modes of relationship is cognitive affective personality theory (Mischel & Shoda, 1999) where dispositional traits have causal influence on behavior in social settings; therefore a validated measure of goal orientation as a dispositional trait is used as an indicator of behavior in this setting. Relationship orientation is operationalized by adapting extant measures of trust with dimensions of competence/credibility, benevolent intention, and problem solving orientation (Sirdeshmukh, Singh & Sabol, 2002; Ganesan, 1994)). Goal orientations and trust represent the modes of relationship which mediate the effects of knowledge and practices on performance as follows: Mode 2 is characterized by higher levels of learning orientation and trust, Mode 1 is characterized as higher levels of performance orientation and lower levels of trust. The research design provides capability for within-group and between-group analysis on these measures (Kashy & Snyder, 1995) to test the main hypothesis that dyads with stronger learning orientation and trust are associated with more desirable outcomes.

The unit of analysis in the research design is the dyad: a fundraising professional and a volunteer who have closely worked together on a fundraising project. A sample of 71 dyads was obtained. Regression analysis is used to test the hypotheses and fit the mediation model (Baron & Kenny, 1986). Study results may provide practical guidance for fundraising professionals and nonprofit

managers interested in effective utilization of volunteer leadership in mission-critical activities. The conceptual model may also be a contribution to the debate on governance theories of nonprofit organizations, and more broadly, to human resource management practices in work settings where performance requires groups with heterogeneous members to develop practices to acquire and utilize knowledge.

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Paper Number: PA031322

Paper Title: Teaching global perspectives: From universalist to critical understandings of non-profit management

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Summary of Research

In this essay we argue for an inclusive teaching approach that will impel students to a critical understanding of non-profit organizations (NPOs), more receptive to the globalizing forces faced by the American non-profit sector and more attentive to the growing international interests and backgrounds of non-profit students.

We begin with a discussion of globalization and how its impact on non-profit management (NPM) is challenging our knowledge-assumptions. We present four important epistemologies regarding NPM and point to the potential of a multi-epistemological approach. We conclude with a discussion of one avenue through which NPM teaching could accommodate a global perspective.

Description

In this essay we argue for an inclusive teaching approach that will impel students to a critical understanding of non-profit organizations (NPOs). We believe that epistemologies of non-profit management should be 'opened up' so that our teaching is more receptive to the globalizing forces faced by the American non-profit sector and more attentive to the growing international interests and backgrounds of non-profit students.

We begin with a discussion of globalization and how its impact on non-profit management (NPM) is challenging our knowledge-assumptions about NPMs and NPOs. We present four important epistemologies regarding NPM and point to the potential of a multi-epistemological approach. We conclude with a discussion of one avenue through which NPM teaching could accommodate a global perspective.

Our essay contributes to an increasing interest in the backgrounds and expectations of NPM students towards their education (Wilson & Larson, 2001), as well as to the growing sensitivity towards diversifying theories of NPOs and their management (Abzug, 1999a,b; Anheier, 2000; Wagner, 2000).

Globalization

Globalization has been described as the growing cultural perception that we inhabit a globe that is shrinking in space and time, inhabited by reflexive citizens, facing increased daily risk. These features, cultural perception, time-space shrinkage, reflexivity, and risk, are having a particular impact on NPOs, in terms of enhanced service-provision and expanded advocacy (Anheier & Themudo, 2002; Edwards & Hulme, 1995; Fowler, 1999; Najam, 1999). What are the challenges students and teachers face in this globalizing setting, in understanding NPM?

Epistemological context

Responding to questions of how NPM is understood in a globalizing world, necessarily raise questions of epistemology. How do we as teachers and students relate to the underlying knowledge of the field?

We can distinguish four broad perspectives on NPM knowledge from our teaching experience. The Universalist perspective, most established in NPM teaching, treats NPM as a field concerned with generating objective knowledge, in identifying, classifying and measuring the activities of NPOs. The perspective is particularly interested in the core concepts that underlie NPM. The Comparative

perspective, a variant of the Universalist perspective, measures variations of a few concepts across different organizational settings.

The Interpretist perspective is sharply different from the previous two perspectives. It treats knowledge as subjective, based within shared definitions; therefore what is important is not the ability to measure the activities of NPOs as much as identifying what is defined as an NPO and why. Particularly important are 'native' views of NPOs, the ways in which members and clients describe these organizations.

The Post-colonial perspective, perhaps the most recent perspective of these four, takes a sharply differing view of both NPOs and NPM knowledge than the previous three. Where the Interpretist perspective treats knowledge as subjective but based within a community, the Post-colonial perspective treats knowledge as irretrievably connected to systems of power and domination. As such NPM teaching cannot create a space free of contemporary exploitation nor of past systems of domination, since its knowledge is sharply contested. The post-colonial perspective acquires particular piquancy when considering the growth of NPOs in formerly colonized societies, and the bitterly contested definitions of appropriate governance and knowledge for these organizations.

A multi-epistemological approach alerts us to the potential of exploring three particular aspects of NPM: citizenship and the public good (Calhoun, 1995; Mansbridge, 1998; Harris, 2001), operational road maps (Anheier, 2000; Anheier & Themudo, 2002), and organizational metaphors (Ahrne, 1998; Alvesson & Willmott, 1996).

Using the classroom to negotiate meaning

Classrooms can be important platforms to negotiate across these different epistemologies in creating shared meaning. In this sense the classroom can be considered, somewhat ambitiously, as a public sphere. As a public sphere it has the potential to open up a space for free discussion. But a multi-epistemological approach poses unique challenges to our teaching methods. As teachers we cannot debar particular topics from discussion, even if they seem irrelevant or explosive. Instead we must constantly challenge students and ourselves in translating such topic in terms of their significance to managerial practice.

Conclusions

Moving toward more inclusive modes of teaching NPM require, we believe, moving students towards crafting their own road-maps and metaphors of the non-profit world, in terms of conversations with their classroom-colleagues. Such teaching would require tactics for presenting different theories of knowledge and power, while offering an array of pedagogical techniques for students to use in exploring their representations of NPOs and NPMs.

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Paper Number: PA031323

Paper Title: Nonprofit Organizations and Property Values: How the Presence of Nonprofit Organizations Affects Residential Sales Prices

Author(s):

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Summary of Research

Does the presence of nonprofit organizations add value to a community? The literature on the role of nonprofit organizations leads us to expect that for some types of nonprofits proximity would increase property values, whereas for others it would decrease them. GIS has been used to incorporate data on nonprofit location in Indianapolis into a data set of house sales. For each house sold, distances to the nearest nonprofits of various types (using NCCS decile codes) were calculated. These distances will be incorporated into a hedonic (regression) analysis which will allow us to isolate the nonprofit proximity effect.

Description

From the very inception of its study it has been assumed that the nonprofit sector provides numerous benefits to individuals, communities, and society. Writings by major nonprofit theorists (for example Salamon, 2000; D. H. Smith, 1973; VanTil, 2000, 1988) consider a number of factors that the nonprofit sector, either singly or in combination with other sectors, provides, including services, advocacy, solidarity and integration, self-expression, and personal fulfillment. These range from the tangible to the intangible and include the financial (such as the value of goods and services produced) to the nonfinancial (such as the quality of life and the social capital of communities).

On the other hand, suggestions have also been made that nonprofit contributions may not all be positive. NIMBY implies that some, at least, might object to nonprofit activity and some types of social capital (bonding, as opposed to bridging social capital) have been held to have potentially negative consequences for group relations (Putnam, 2000).

The evaluation of the impact of the nonprofit sector is currently a major issue among practitioners, policy makers, and academics in the USA. A number of major initiatives and developments have recently been seen in each of these camps, including the United Way's evaluation initiative, performance based contracting by government agencies, and INDEPENDENT SECTOR's measures project. A number of books on the topic have also been recently published by the nonprofit research community (see Flynn & Hodgkinson, 2001; Foster, et al., 2001).

This paper uses GIS and hedonic modeling to test the hypothesis that the presence of nonprofit organizations in neighborhoods affects property values. It is assumed that the positive or negative consequences of nonprofit activity will be reflected in the value of nearby property. Positive impacts could be due to services that are available to neighborhood residents, increased social capital, positive spillover effects on other organizations, well-kept and/or highly visible facilities, or even just the presence of a prestigious or respected organization. Negative effects may be due to the presence of clients that residents perceive as unpleasant or dangerous, the provision of services not favored by residents, or facilities that are unsightly, or generate traffic, noise, or pollution.

The degree to which these factors exist and the measurement of their impacts on property values has not been systematically examined in the nonprofit literature. A search of the ARNOVA literature base (which includes ARNOVA Abstracts, Nonprofit and Voluntary Sector Quarterly, ARNOVA News, ARNOVA Research Abstracts, and ARNOVA Occasional Papers) found no citations for property value, house value, or neighborhood quality.

Other literatures, however, such as urban studies, public policy, economics, housing and real estate, or taxation are also concerned with this issue. Suggestions have been made that nonprofit organizations

in neighborhoods may increase social capital (Musso, et al., 2002) and that social capital may affect property values positively. The literature also suggests that different types of nonprofit organizations may have different types of effects and that there may be complex interactions among types of facilities and different neighborhoods.

This analysis builds upon several previous studies. Ottensmann (2000) carried out a study of the value of the facilities of the Catholic Diocese of Cleveland. Ottensmann found that proximity of church facilities had a positive impact on the value of both owner-occupied and renter-occupied housing in Cleveland (2000: 14-18). Ottensmann cites two previous studies of the impact of church facilities on house prices. Their findings were contradictory. Do, Wilbur, and Short (1994) found that the presence of churches has a negative effect on housing prices in one community and Carroll, Clauretje, and Jensen (1996) report that the presence of churches has a positive effect on housing prices.

The analytic method employed in this analysis is hedonic price modeling. In this technique, models are built to predict the price of a good, which is assumed to be the result of multiple factors (Dowling, 1984). This approach has been used in housing studies (Rothenbert, 1991), urban economics (Man & Bell, 1996; Muth & Goodman, 1989), and environmental economics (Markandya & Richardson, 1993).

When applied to house prices, "The most direct linkage of housing and neighborhood effects can be traced to the development of hedonic price models of housing markets.these models recognize that goods can be considered as bundles of attributes, or components. Goods that are not explicitly valued in the market, such as clean air, could be valued implicitly by comparing parcels or dwelling units with different air qualities. Housing demand could be decomposed into demand for the various components of the housing bundle, including neighborhood." (Goodman, 1989, pp. 59-60).

In this way, through incorporating any variables which may influence the sale price, hedonic modeling allows us to derive a value for those things which are tangible and easily observable, such as the characteristic of the house itself, as well as the value (shadow price) of those things which are not, such as neighborhood quality (Young & Steinberg, 1995: 217-19).

The housing characteristics data for the model were obtained from the Metropolitan Indianapolis Board of Realtors (MIBOR). MIBOR is a professional association representing central Indiana realtors. In serving realtors, MIBOR maintains the Multiple Listing Service for an 11 county service area, which contains the Indianapolis MSA, plus Montgomery and Brown County (both exurban areas). This proprietary database, acquired by the Center for Urban Policy and the Environment at the School for Public and Environmental Affairs through a cooperative agreement, contains all single-family house listings entered by MIBOR members for 1999, 2000, and 2001. MIBOR estimates that the MLS database contains 80 percent of all housing sales in their service area.

The database contains more than 130,000 listings, including records for more than 69,000 sales, and more than 200 fields of information for each listing. More than 31,000 of these records are sales reported in Indianapolis/Marion County. For this analysis, fields of information were selected to provide the variables typically found in standard hedonic models, including address, year built, sale date, total number of rooms, number of bedrooms, total square footage, garage type, porch type, size of lot (acres), heating system, cooling system, exterior type, number of stories, and semi-annual tax amount.

Over 31,284 observations were originally extracted from the database to carry out a Marion County analysis (including all sales in Marion County). A number of observations were eliminated because they either did not pass the test of an arms-length sales transaction (their selling price was less than 10% of the asking price) or lacked some important information such as total square footage or year built. Additionally, observations that could not be geocoded were eliminated. The current dataset for the Indianapolis/ Marion County model contains 28,277 observations. To develop and test the model for nonprofit proximity, the 9,465 observations from 1999 sales will first be used. Subsequent analyses will utilize more of the housing data.

Nonprofit data for 1998 and 1999 was obtained from Internal Revenue Service (IRS) and further coded by the National Center for Charitable Statistics at the Urban Institute in Washington D.C. and the Center for Urban Policy and the Environment. Organizations were coded using the decile codes of the National Taxonomy of Exempt Entities and were subsequently geocoded. After geocoding, the nonprofit data set contained 5,108 organizations.

A number of additional community characteristic variables are being obtained from 2000 census data and will be added to the data set. The inclusion of census tract or block group characteristics will improve the specification of the overall model and they may, in addition, have an impact on the nonprofit coefficients. They will also allow us to examine theoretically relevant questions. For example, when is there a benefit to nonprofit "fit" in a community (for example by providing amenity services in wealthy communities or welfare services in poor ones)? Also, what community factors (such as race, income, age, etc) contribute most to positive or negative value? Do factors such as community growth, decline, or turbulence make a difference? These and other questions will be explored.

The statistical analysis incorporating the data and variables described above will be a semi-log regression with the log of sales price as the dependent variable and the distances to the nearest nonprofit of various types as independent variables (among the other factors). As part of the analysis, a number of measures of proximity will be evaluated. Measures will include simple distance, inverse distance, decay functions, and location within a given radius. This will help us determine how proximity should be conceptualized and measured.

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Paper Number: PA031327

Paper Title: More Than Meets the Eye: Structuring and Financing Nonprofit Advocacy in Complex Organizational Structures

Author(s):

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Summary of Research

The authors identify incentives and disincentives in the regulatory framework for structuring and financing relationships for advocacy between 501(c)(3)'s, 501(c)(4)s and connected PACs. We present data on shared financing arrangements, show levels of autonomy and dependency between interrelated entities in the complex structure, and model different institutional arrangements in the complex organizational structure. We examine board representation and relationships between entities in the complex organizational structure, including board financial contributions and connections to PACs. These observations are used to develop hypotheses about why complex organizational structures are formed, which relationships are efficient, and how the arrangements pay off in politics.

Description

Abstract for Proposed Research Paper for 32nd Annual 2003 ARNOVA Conference

More Than Meets the Eye:
Structuring and Financing Nonprofit Advocacy in Complex Organizational Structures

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The public identity of politically active nonprofit organizations can veil the complexity of the structural, financial and governance relationships that lead to political influence in the policy process. Behind what appears as one organization are multiple tax-exempt entities organized for different exempt purposes and related through governance and financing processes. While many types of organizational arrangements permit greater latitude in politics, the most common is a complex organizational structure comprised of separate, but closely affiliated, tax-exempt entities. This usually includes a 501(c)(3) charitable organization, a 501(c)(4) social welfare organization, and a connected PAC working together to achieve shared political ends.

Current research does not take account of the reasons for building and maintaining these complex organizational structures. Instead, nonprofit organizations are studied as solo organizations, which prevents a full understanding of the interface between regulation and nonprofit advocacy. As a result, the financial and governance relationships between tax-exempt entities that enhance the policy and electoral influence of organizations are not well known.

This paper provides background and a framework for studying complex organizational structures based on case studies and data from the National Center for Charitable Statistics.

It examines how regulatory policy shapes nonprofit organizational arrangements for advocacy work. The Internal Revenue Service (IRS) and the Federal Election Commission (FEC) together shape the ways nonprofits structure their income, expenditures, and activities when they are engaged in activities influencing public policy and elections. In particular, they encourage nonprofits to make organizational arrangements that allow for the broadest range of advocacy at the greatest possible tax benefit. When looking from the 501(c)(3) to the 501(c)(4) and finally to the PAC, the freedom to engage in more lobbying and partisan activity increases as favorable tax status decreases.

Within this regulatory framework, the authors identify incentives and disincentives for structuring and financing organizations. We present data on shared financing arrangements, show levels of autonomy

and dependency between interrelated entities in the complex structure, and model institutional arrangements in the complex organizational structure. In addition, we examine board representation and relationships between entities in the complex organizational structure, board financial contributions to connected PACs, and board connections with independent PACs closely allied with their organization's cause.

These observations are used to develop hypotheses about why groups build multiple organizations, which relationships are efficient, and how the arrangements pay off in politics. We discuss findings in light of their implications for nonprofit policy and electoral advocacy and in view of recent changes under federal campaign finance reform.

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Paper Number: PA031329

Paper Title: A Museum Case Study: Employee Interpersonal Trust and Distrust in a Changing Organization

Author(s):

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Summary of Research

Based on data from personal interviews, this paper examines how a natural history museum's transition from public agency to nonprofit organization had the unintended consequence of eroding employee interpersonal trust. It examines how the implementation of market-oriented strategies at the Museum has replaced a system of trusting personal relationships with a more impersonal organizational system. Though it has been noted in the literature that a high level of interpersonal trust decreases transactional costs within organizations, these potential benefits have been largely ignored in the current nonprofit environment that encourages the application of corporate management practices emphasizing control and accountability.

Description

This paper explores the experience of a natural history museum in the Midwestern United States, as it has been transformed from status as a public agency, highly dependent on local tax dollars, to a largely financially self-sufficient nonprofit organization with earned revenue as its primary source of funding. It is based on data from personal interviews with thirteen long-term employees of the Museum. During the decade-long transitional period beginning in the early 1990s, the "professional" portion of the Museum--the area devoted to collections, exhibits, and research--has remained essentially the same size or even declined slightly in terms of physical space and number of personnel. The administrative or "business" side of the museum has over the same period expanded its operations to support revenue generation. The total number of Museum staff has more than doubled as professionals have been added the areas of finance, human resources and marketing, and additional employees have been hired to support expanded retail, food service, and other revenue generating operations. At the same time the environment in which the Museum operates has become increasingly competitive as other educational and entertainment alternatives have become available in the same geographical area. This paper will draw on insights from anthropological exchange theory to illuminate the changing relations of interpersonal trust and distrust between employees and management, between staff and the top executive, and in relations with colleagues at other Museums.

Weber's ideal typical bureaucracy theoretically places individuals in fixed relationships, which allows economic transactions in the organizations to take place independently of collective actions of groups within the organizations. Granovetter (1985) argues that all economic relationships are embedded within networks of social relationships which are characterized by trust and distrust. The level of trust (or distrust) in intraorganizational social relationships has a direct impact on the effectiveness and efficiency of exchanges in the organization. Sahlins (1972) identifies the inextricability of cooperative social and economic relations in his discussion of reciprocal exchange relationships. At one end of the spectrum, exchanges which emphasize the social relationship involved rather than the economic transaction, are thought to build up a "store" of trust and goodwill that enables society to function (Selgiman 1997, Fukuyama 1995). At the other end of the spectrum, the most impersonal acts of exchange take place when the party with most power tries to take advantage of the other for economic gain. At the extreme of unsociability, the more powerful partner in the exchange attempts to get something for nothing (Sahlins 1972). In exchange relationships where the trustworthiness of individuals involved is unknown or cannot be determined in advance, mechanisms such as contracts, policies for auditing or controlling behaviors, formal hierarchies, and professional standards are used a substitute for interpersonal trust. These substitute mechanisms tend to carry much higher transaction costs than cooperative relationships, and do not ensure that trustworthy behavior will result (Hosmer 1995).

This case study will explore the ways in which interpersonal trust relationships have been challenged at the Museum. It will contribute to the understanding of some of the difficulties and conflicts regarding trust in changing organizations, and the role of organizational leaders in building trust and distrust.

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Paper Number: PA031332

Paper Title: The Effects of Welfare Reform-Related Devolution on the Political Capacity of Community-Based Nonprofits

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Summary of Research

The following research builds on a 1997 study of survival strategies of nonprofits in response to welfare reform. We found that organizations were shifting toward “biznification” and away from activities that constitute “political capacity.” This study documents the experience of nonprofits that have been on the front lines of welfare reform and analyzes the political capacity among these nonprofits using Habermas’ conceptual framework. The study uses focus group and interview data from a range of community-based nonprofits to develop a portrait of political capacity and to discern patterns across organizations, by neighborhood, type of organization, and race/ethnicity.

Description

The following research builds on a 1997 study of survival strategies of Cleveland area nonprofits in response to welfare reform. We found that the ability of smaller nonprofits (annual budgets of < \$3 million) to adopt business approaches was extremely limited. They frequently fell short of the management expectations in government contracts, such as performance measures, professionalized staff, competitiveness, and management information systems. Organizations were shifting their energies toward “biznification” and away from community organizing, advocacy, and citizen education—activities that constitute “political capacity.”

We concluded that the political role of what de Tocqueville called “associations” — as laboratories of citizenship and bulwarks of democracy— was threatened by a narrow focus on the management capacity of community-based nonprofits, ignoring their political capacity.

We have recently returned to this study with the pending renewal of welfare reform, to document the experience of nonprofits that have been on the front lines of welfare reform. Several tentative conclusions at this point: (1) Nonprofits are seen by the county as instruments rather than partners; (2) service delivery capacity is strained because dollars follow clients and there is little or no case management (3) The need for client advocacy has increased due to strict application of rules for client behavior, yet there are no funds for advocacy; (4) It seems likely that smaller organizations, that often are closer to the community and understand client life situations better, may not survive the combination of increased case loads and unpredictable funding flows (J. Alexander, ongoing research, 2002).

□

In this paper, I will discuss the results of our study of the nature and strength of political capacity among these nonprofits in more detail and depth using Habermas’ conceptual framework to guide the investigation. The study will include focus group and interview data from a range of community-based nonprofits that include organizations providing health, transitional housing, employment support, child welfare, substance abuse, domestic violence, day care, mental health or other services. The study will analyze focus group and interview material to develop a portrait of the political capacity of each organization and to discern patterns across organizations, by neighborhood, by type of organization, and by race/ethnicity.

This research addresses the urgent but little noted concern; the future of civil society. Based on our research to this point, we believe the political capacity of community-based nonprofits may be the only counterweight to an increasingly instrumental approach by local government to privatizing support services for welfare clients and former welfare clients. We believe that the political capacity of community-based nonprofits and therefore, civil society itself, may be an endangered resource and our intent is to develop a greater understanding of the forces impinging on community nonprofits that help or hinder the development of political capacity.

Paper Number: PA031335

Paper Title: Structures and Processes in Intermediary Non-Governmental Organizations: Research Evidence From Northern Ireland

Author(s):

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Summary of Research

This paper examines organizational functions and roles of funding organizations in the EU Special Programme for Peace and Reconciliation in Northern Ireland. The results show the main factor determining organizational processes is the need to respond to conflicting pressures from two directions — upwards to funding agencies and downwards to community groups. This produces contradictory demands that are imported into the organizations as a set of internal tensions. The different structures and capabilities developed by the organizations to maintain unity and integrity in response to these tensions are explored and related to differences in the perceived role of the organizations.

Description

This paper examines the unique organizational and management characteristics of intermediary nongovernmental organizations that support voluntary and community based organizations (Carroll, 1992). Operating as a link between macro-level national development policy and micro-level grassroots efforts, intermediary or support level NGOs have emerged as an essential part of the processes of community based social and economic change. They provide a multi-dimensional network of linkages between diverse and contending constituencies and enable social change through empowerment, cooperation, and community building. Reflecting in part their ability to bridge organizational gaps and reach into the grassroots, intermediary organizations have been cast into a central role in development and have become institutionalized participants in social and economic change.

Intermediary organizations function per force in multiple environments — government and international agencies, donors, local and international NGOs, local business and industry, and other Intermediary organizations, grassroots and community organizations (De Graaf, 1987; Khandwalla, 1988; Quarles van Ufford, 1998). Although they must interact in a number of environments, each presenting conflicting demands and expectations, a first differentiation and distinction can be made between the environment represented by funding agencies, both national government and international development agencies from which Intermediary organizations receive support, and that represented by local communities and organizations to which Intermediary organizations provide support (De Graaf, 1987; Nogueira, 1987; Quarles van Ufford, 1988). The environment of intermediary organizations can generally be characterized as highly complex, highly unstable and highly uncertain, but there are enormous differences between the bureaucracies of donors and government and the informal and atomized organizations of local communities. The difference between the development agency environment and the grassroots environment is so great that it is unlikely that Intermediary organizations can respond effectively to both, and they must choose to give their primary focus to one or the other (Stone, 1996). They will create structures and processes to fit either the environment of donors and government or the highly unstable environment of grassroots and community organizations. To attempt both will create stresses and conflicts that may fracture the organization (Stone, 1996).

The differences in these perspectives may seem to be semantics. Brown and Korten (1991) contend, however, that intermediary organizations responding to development agencies (Brown & Korten refer to these as public service contractors— PCSs) and those responding to community organizations (voluntary organizations – VOs) are fundamentally different: “Conceptually the difference between VOs and a PSC is clear. A values-driven VO defines its program based on its social mission, and then

seeks the funding required to implement it. The market-driven PSC starts with an assessment of prospective funding sources and defines its programs on that basis" (:21). Since nearly all intermediary organizations depend on external funding, the distinction between a fund seeking PSC and a mission oriented SNGO is not always clear, and most organizations incorporate some of each perspective. However, it is generally possible to categorize intermediary organizations as either primarily concerned with maintaining donor funding and using GRO support as a means, or primarily concerned with their social and development mission and using donor funding as a means. To an external observer these organizations may appear very much alike, but there are fundamental differences in their approach to their tasks and in their organizational processes and structures.

In this paper, organizational differences resulting from different perspectives are examined through a study of the functions and roles of the Intermediary Funding Mechanism (IFM) in the EU Special Programme for Peace and Reconciliation in Northern Ireland. The Peace Programme was set-up following the cessation of violence in Northern Ireland with the strategic goal of reinforcing progress towards a peaceful society. The IFMs are an innovative mechanism to deliver devolved funding and support a broad and inclusive cross-section of the eligible population, especially the most socially excluded and vulnerable members of society. The objectives and procedures imposed by the Peace Programme requirements necessitated that all the IFMs perform similar functions. They were required to set up systems to assess grant applications, to allocate funds, to account for funds received and distributed, and to monitor the activities and spending of funded projects. It is to be expected, therefore, that there would be many similarities in routines and procedures across the organizations. Although these commonalities may have defined the functions of the organizations in broad terms, there were striking differences in the ways the functions were realized in practice.

This study is exploratory in nature and examined the operations of IFMs as experienced by their managers and staff. The purpose was to understand how members perceive the environment, the constituents and stakeholders, the functions, and the structures and processes of the organizations. More than thirty semi-structured interviews were conducted in Northern Ireland and analyzed using a constant comparative method (Glaser & Strauss, 1967; Strauss and Corbin, 1990). The results show the main factor determining organizational processes is the need to respond to conflicting pressures from two directions — upwards to funding agencies and downwards to community groups. This produces contradictory demands that are imported into the organizations as a set of internal tensions — legitimacy vs. independence, planning vs. responsiveness, control vs. autonomy, and accountability vs. flexibility. Different structures and capabilities have been developed by the IFMs to maintain organizational unity and integrity in response to these tensions.

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Paper Number: PA031336

Paper Title: Latino Congregations: Lessons from the Philadelphia Census of Congregations

Author(s):

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Ms. Charlene C. McGrew, University of Pennsylvania, Philadelphia, PA, USA

Summary of Research

At the beginning of the twenty-first century, two key trends are documented regarding Latinos in the United States. First, they become America's largest minority. Second, Latinos gradually are shifting into Protestantism. This presentation examines the role of Hispanic congregations in one large city. Based on a census of congregations in Philadelphia, we focus on the Latino congregations' community (N=130) and their social serving capacity. We discuss key characteristics of Latino congregations such as religious affiliation, membership size, budget, length of operation, organizational structure, relationships with the community, and social service provision to the community.

Description

□ At the beginning of the twenty-first century, two key trends are documented regarding Latinos in the United States. First, Latinos have become America's largest minority. As such they became the largest and fastest growing minority group in America, yet our knowledge of their nonprofit tradition as well as voluntary action is most limited. Little is known about their methods of mutual help and supportive arrangements. Unlike African Americans, Latinos are a much more diverse group, speaking a variety of languages, coming from various nationalities, composed of various ethnic groups, and are divided by many lines. Furthermore, in the United States they do not share a common historical experience or a common destiny.

□ Second, while traditionally a catholic population, Latinos gradually are shifting into Protestantism. With the Spanish conquest of South America came Catholicism as the religion of choice for most Central and Southern America. Both in the United States and in Central and Southern America Protestantism and especially Pentecostal and Charismatic churches are taking hold of the community. In Guatemala, for example, it is estimated that more than fifty percent of the population switched from Catholicism to Protestantism. The United States is not lagging far behind.

□ These pivotal demographic shifts demand our attentiveness to the contributions and struggles of the Latino community in urban America. It is essential for us to understand how Latinos are organizing their communal life around communities of faith. Religion plays a key role for Latinos and they generate much of their mutual support and strength through communities of faith. The fact that most Latino communities of faith run their affairs in Spanish or Portuguese make our access to them difficult.

□ In order to attain knowledge about the Latino faith community, the Philadelphia Census of Congregations contacted all Latino coalitions in town, hired Latino clergy as interviewers, and canvassed the streets where Latino Philadelphians live. We were able to identify all congregations that are Latino. We defined congregations as Latino if they identified themselves that way or if at least 70 percent of the members were identified by the clergy as Latinos.

□ This presentation will be the first to examine the role of Hispanic congregations in one large city. Based on a census of congregations in Philadelphia, we focus on the Latino congregations' community (N=130) and their social serving capacity. We were able to interview 105 Latino congregations. Each interview was held in Spanish or Portuguese if so desired by the clergy by a bi-lingual interviewer. The interviewers were trained and supervised by the first author. About half the interviews were held in English. The interviews were three-hour long, face-to-face, at the congregational property.

□ In our presentation we will discuss key characteristics of Latino congregations such as religious affiliation, membership size, budget, length of operation, organizational structure, relationships with the community, and social service provision to the community. Findings suggest that while Catholic congregations amass larger numbers of Latinos there are many more smaller Protestant congregations

of a variety of denominations. Many of the Protestant congregations are affiliated with The Hispanic Clergy of Philadelphia and Vicinity a faith coalition that protects the rights and interests of Latinos in the region. They are also affiliated with Nueve Esperanza (New Horizons) a community development corporation and a major payer in Philadelphia's politics and social service and education systems.

□ We will also compare the characteristics of the Latino congregations with those of Anglo and Black congregations as a means to help identify their unique features. For example, Latino congregations are, on average, smaller in size and budget, and also less active in social services provision.

□ In sum, Latino congregations play a critical role in supporting the community and serving those in need; their role will only continue to grow in the near and distant future. However, they do so to a tune that can easily be increased.

Paper Number: PA031337

Paper Title: The Social Logic of Contributory Behaviour: Subcultures and Styles of Volunteering and Giving

Author(s):

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Dr. Paul Reed, Statistics Canada, Ottawa, CANADA

Summary of Research

Based on a qualitative analysis of 350 interviews, this study examines the language and meanings that francophones and anglophones across Canada used to describe the reasoning associated with decisions concerning volunteering and giving. Not only does this analysis of social reasoning illuminate the different ways these contributory behaviours are perceived and activated in different subcultural contexts, it also examines the distinctive types or styles of contributory behaviours of Canadians.

Description

To understand the decision-making associated with volunteering and charitable giving, two principal forms of contributory behaviour, we undertook detailed interviews with a nationally selected sample of 350 individuals across Canada. Based on a qualitative analysis of these open-ended interviews, this study examined the language and meanings respondents used to describe the reasoning associated with decisions concerning volunteering and giving. Through a combination of ethnography and discourse analysis, we compared the answers from a francophone population with those from the dominant anglophone population (Jorgenson and Phillips, 2002; Phillips and Hardy, 2002; Altheide, 1987).

The study revealed a pattern of commonality and diversity in the thought and speech of "contributory" people. While a general intention to contribute to the common good predominated, there were large systematic differences in individuals' view of what comprised the common good and the social that underlay their contributing to it revealing different civic and religious traditions (Reed and Selbee, 2001; Bellah et al, 1985; Fowler, 2000). Illustrative of the differences between francophone and anglophone sensibilities, francophones consistently displayed a general concern for the collective well-being as a motivating factor in their decision to be volunteers and charitable donors. Beyond the particularly evident differences in worldview and decision-making between the two principal linguistic subpopulations, there were also distinctive types or styles of contributory behaviours which we explore in the paper.

This analysis of social reasoning extends our understanding of volunteering and giving beyond that derived from the quantitative analysis of "motives" and illuminates the different ways these contributory behaviours are perceived and activated in different subcultural contexts.

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Paper Number: PA031338

Paper Title: Capital Campaign Theory: Determining the timing of the public phase

Author(s):

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Summary of Research

Capital campaigns remain an important part of the fundraising process for many nonprofit organizations. Over the past years a tradition has grown up around fundraising campaigns. One of the rules of thumb involves the idea of dividing the campaign into a quiet phase and a public phase at approximately the 33 to 60 percent completion point. The problem I will address concerns developing a theory, based on data analysis of a donor survey, that will guide fundraisers in determining the optimal percent to be raised before announcing the public phase of a capital campaign.

Description

The problem or issue to be addressed:

Capital campaigns remain an important part of the fundraising process for many nonprofit organizations in the United States. Developed by Ward and Pierce in the early 1900s as a technique for raising money to construct new YMCA buildings, the capital campaign has evolved to become a comprehensive effort that raises millions and billions for organizations. For higher education institutions the efforts typically extend over seven years with very high goals (\$20 million to over \$1 billion). Staff to run such an operation may involve many additional full time people (1 to 30) and hundreds if not thousands of volunteers.

Over the past 100 years a tradition has grown up around fundraising campaigns. One of the rules of thumb that has been passed down involves the idea of dividing the campaign into a quiet phase and a public phase. During the quiet or leadership phase, major donors, board members, and other high-potential donors are asked to make early gifts to get the campaign started. They would then be added together and announced with a total amount in comparison to the overall campaign goal. According to experts (Dove, 2000; Worth, 1993; Klein, 2001), when moving into the public phase the percent of goal to be announced should be between 33 and 60 percent of the goal. The problem I will address concerns developing a theory, usable in practice, which will guide fundraisers in determining the optimal percent to be raised before announcing the public phase of a capital campaign.

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

Like other rules of thumb in fundraising, determining at what point to launch the public phase of a capital campaign has not been established in a systematic way. For example, the world's best-known author on the subject of capital campaigns, Kent E. Dove, states that "most campaigns do not go public until a certain percent of the goal has been committed—usually between 40 and 60 percent—and lead gifts represent the bulk of the money raised during the quiet phase." (Dove, 2000, Page 132). He does not indicate any research to back up the percentages.

Similarly, Kathleen Kelly refers to this issue in her text book on fundraising by stating that "experts recommend that about 40% of the dollar goal be raised during this period—before the campaign is publicly announced" (Kelly, 1996). "Generally, you will want to raise one-third to one-half of the campaign total before you even announce your campaign publicly" (Klein, 2001). None of these references establish the percent in any formal way.

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The approach you will take (including data sources):

I plan to develop a survey instrument that explores the issue using several different scenarios. Suppose the respondent is approached to give a gift or pledge to a capital campaign (for an organization that he or she has given to in the past) that has already raised 10, 20, 30, 40, 60, 80, or 90 percent of goal. Would it matter? If so, what is the percent likelihood that you would give the gift in each scenario?

The survey would first be tested among graduate students in the School. After modifying the instrument based on the feedback from the test group, the survey would be sent in the mail to a donor database. The database will consist of donors from multiple organizations or from the School's own donor database, depending on availability. They will be told that their replies are anonymous and will not be relayed to the School's development office for use in fundraising appeals. I anticipate a combined 10 percent response rate with an initial mailing and one follow up mailing. With a mailing count of 2,000 people, it would imply a sample size of approximately 200.

My hypothesis is that the relationship—between the likelihood that a person gives a gift and the percent raised so far—will be non-linear. Starting at 10, 20, and 30 percent, the respondent will be not very likely to pledge. He or she has no assurance that the organization will really raise the money. At 40, 50, and 60 percent the typical respondent will have a greater chance of pledging—the goal will most likely be reached and the organization needs help. At 70, 80, and 90 percent the likelihood will drop down again. He or she will begin to feel that his or her gift is not particularly needed. Why not let someone else complete this project.

In addition to the standard descriptive statistical analysis, I plan to do some interviews with respondents as time permits. This will provide a fuller understanding of the impact of campaign strategy on the campaign's success. Follow-up questions might involve trying (1) to determine what particular strategy to take with donors at each stage in the campaign and (2) to determine the influence the current economic and political situation has on their reaction to the scenarios presented to them.

The contribution to the field your work will make:

This project will shed light on the way organizations plan capital campaigns. In the past, organizations would set the quiet phase to end and the public phase to begin based on a rule of thumb that has been passed down for generations. In the future, the organizations will be able to set a timetable for public phase transition based on empirical research.

Paper Number: PA031340

Paper Title: Metaorganizations: A Model of Infrastructure Building for the Nonprofit Sector

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Summary of Research

This paper examines the organizational model of nonprofit metaorganizations in the United States and the transference of this model to postsocialist nonprofit sectors, specifically Hungary. Metaorganizations see themselves as playing a supporting, representative or coordinating role for nonprofits at the national or regional level. I explore the roots of this organizational model and the shape of infrastructure these organizations claim to build in the US and Hungary. I argue that the issue of building sector-wide capacity is inherently tied to the issue of collective identity formation and the definition of nonprofitness embedded in concrete politico-social contexts.

Description

This paper examines the organizational model of nonprofit metaorganizations in the United States and the transference of this model to emerging postsocialist nonprofit sectors, specifically Hungary. I regard the Minnesota Council of Nonprofits in the United States and the Civil Society Development Foundation in Hungary as examples of this organizational model.

Metaorganizations see themselves as playing a supporting, representative or coordinating role for nonprofit organizations at the national or regional level. Ostensibly, they do this by building a legal, communicational, financial or at times ideological infrastructure that is supportive of the growth and strengthening of the entire nonprofit sector. Although they provide capacity-building services for individual organizations, metaorganizations are primarily sector-building nonprofits. Metaorganizations are thus developers but they transcend the practice of micro-level organizational development, they operate on the sectoral level. The constituency they serve is broadly defined as any organizations in the entire nonprofit sector or any other parties interested in nonprofits such as governments, citizens, firms, donors, both national and international. They serve an extremely heterogeneous market that transcends the boundaries of the nonprofit sector.

The metaorganizations I identified both in the United States and the postsocialist arena differ from the model of support organizations described by Brown and Kalegaonkar (2002) in several aspects. First, metaorganizations are truly generalist organizations. Instead of specializing in either building alliances, providing information or technical assistance, they provide a wide spectrum of these services. Second, their clients are not restricted to certain service areas such as development or environmental protection: metaorganizations serve any nonprofits, plus those that can potentially benefit nonprofits. Third, most metaorganizations (especially in Hungary) were specifically established for this sector-building purpose and did not evolve from other areas of service-provision. Clearly, the emergence of this organizational model was a response to the nonprofit sector's needs.

What were those specific historical infrastructural needs in the United States that gave birth to such organizations as the Independent Sector, the Minnesota Council of Nonprofits and the Maryland Association of Nonprofit Organizations? To explore this issue the paper reviews the scholarly and organizational literature on the related history of the US nonprofit sector (Hall 1992).

The research examines the history and activities of three US nonprofit metaorganizations that are most exemplary of their trade. Using them as a synecdoche, I construct an ideal type of a nonprofit metaorganization based on these three nonprofits.

This ideal type is then examined in the context of postsocialist nonprofit sectors where this organizational model has been widely disseminated and successfully implemented. I will explore how

institutional designs were transported from the United States to Eastern Europe, specifically to Hungary, through philanthropy and other technical assistance activities. Did these transfers impose an institutional blueprint on local nonprofit development or were they reconfigured by local metaorganizations?

Metaorganizations play a strategic role in the evolution and shaping of their nonprofit sectors. What infrastructural needs do Hungarian metaorganizations identify as essential to satisfy in order to build a sustainable nonprofit sector and what tools do they use to achieve their goals? How are these different from the goals pursued by US metaorganizations?

Upon discussing the pragmatics of building a nonprofit sector, I analyze the vision of the nonprofit sector Hungarian metaorganizations purport to build. How does an ideal nonprofit sector look like as envisioned by these metaorganizations and how do they construct legitimizing discourses through their activities? What is their interpretation of non-profitness?

This study thus takes an alternative approach to the study of how nonprofit organizations and sectors are distinctive and how they should be defined (Salamon 1998, Gronbjerg 2001) in that it aims to provide an inductively reasoned notion of non-profitness through an analysis of the discourses by metaorganizations. Theoretically, the paper seeks to combine insights from theories of social construction (Berger & Luckmann 1967) and the new institutionalism of organizational theory (Powell & DiMaggio 1991) to advance the new institutionalist approach in nonprofit studies (Anheier & Seibel 1998, DiMaggio 1991, DiMaggio & Anheier 1990). Accordingly, I view the notion of the nonprofit sector's infrastructural needs not in a functionalist framework (actors fulfill real needs) but as a construct created and developed through historically determined discourses and by the actions of those in strategic positions.

This study on building sector-wide capacity argues that the issue of capacity building is inherently tied to the issue of collective identity formation and the definition of non-profitness embedded in concrete politico-social contexts.

The data for this analysis on Hungarian metaorganizations come from three sources. First, I conducted forty-two qualitative interviews with managers of nonprofit metaorganizations and nonprofit consultants that focused on the project of civil society – nonprofit sector development, the role of metaorganizations, the identities and divisions in the sector, organizational collaboration and views about such sector-wide developments as nonprofit interest representation. Second, quantitative data come from a self-administered survey of the entire field of Hungarian nonprofit metaorganizations (39 organizations, 55% response rate). The data focus on organizational history; personnel; budget size and funding structure; organizational mission, services and other activities. My survey also included a network instrument to map the relational structure of these nonprofit metaorganizations. Third, I collected various documents from these organizations (program brochures, founding documents, etc.). I also participated in three sector-wide events (conferences and state-sector negotiations) and collected related documents.

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Paper Number: PA031343

Paper Title: Government Transactions with Faith-based Organizations: Collaborations or Purchases?

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Summary of Research

Collaborations between government and faith-based social service organizations can be made more useful when we recognize that most of these relationships are not truly collaborative. Most, in fact, are simple market transactions wherein government agencies buy services from faith-based providers. Recognizing the special tension between government agencies and FBOs, and using the language and logic of transaction cost economics and other organization theories, we discuss the true nature of government-FBO relationships, and build a model of collaboration that aims for the development of lasting synergies.

Description

Government Transactions with Faith-based Organizations: Collaborations or Purchases?

Problem Addressed:

In the present political and policy environment, more emphasis is being placed on the facilitation of collaborative efforts between government social service agencies and faith-based service providers. As government entities seek private sector partners, special problems arise in the development of relationships with those providers that are specifically faith-based in their philosophy and affiliation. While much recent discussion has centered on the development of “collaborative” arrangements between government and faith-based organizations, it strikes us that most of these relationships are not at all collaborative in the truest sense of the word. Rather, these arrangements are most characteristic of arms-length market exchanges. In order to best speak about the potential role of FBO-government relationships in the provision of social services, we must first be clear about the nature of those relationships and the language used to describe them. We believe that there is a critical role to be played by FBO-government partnerships, and we believe that better synergies can be established between the public and private service providers if we push the boundaries of collaboration.

Relation to State of Knowledge and Model Building:

One way of adding value to this discussion is through the language of organizational theorists and economists describing the nature of transactions and organizational design. □As part of an interdisciplinary team of organizational and social work scholars currently engaged in research on faith-based social service providers and government entities that accomplishes two purposes. First, the model will allow for a better explanation of the true nature of the typical relationship observed between FB and government entities. Second the model will incorporate suggestions for expanding the boundaries of collaboration in such a way that greater synergies are achieved between the (truly) collaborative partners.

Some of the language and models most familiar to business and organizational scholars will be drawn upon to complement existing models in the non-profit literature (e.g. Gray, 1989; Gray & Wood, 1991; Kraus, 1984). More specifically, we will discuss FBO-government relationships from the perspective transaction cost economics (Coase, 1937; Williamson, 1975, 1985). In transaction cost economics, it is assumed that organizations accomplish their numerous transactions with an eye toward efficiency and an organizational design that allows certain tasks (transactions) to be accomplished “in-house” and others to be “outsourced,” or accomplished through market transactions. The location of specific transactions is determined by the degree to which the organization can most efficiently control against negative outcomes. What is most useful is that this model also accounts for the “swollen middle” of

organizational transaction arrangements, encompassing the many collaborative forms with which we are most familiar (Williamson, 1985).

As transaction cost economics has been mostly applied to analysis of for-profit firms (Teece, 1985), we will further consider the special nature of efficient transactions in the not-for-profit sector, wherein efficiency may be viewed differently, and where other constraints are more critical than in the for-profit business world.

Contribution to Field:

As we consider the nature of FBO-government transactions from a TCE perspective, we focus especially on relationships in which government agencies provide funding to faith-based providers, often referred to as evidence of collaboration between the two sectors. In fact, these are better considered as “arms-length” transactions, in which one organization buys services from a market provider, with little commitment between the two organizations aside from the exchange of services for money/funding. The special nature of service provision through contracting lengthens the timeline for these market-based transactions, but they are essentially market mechanisms in which government agencies may fulfill their social mandate in a manner they deem most appropriate, in terms of effectiveness, efficiency, or both. We discuss the special problems associated with church-state issues that limit the development of closer relationships between government and faith-based organizations. Finally, we will discuss the possible synergies that can be gained through alliance, or collaborative, arrangements between these entities (Bamford, Gomes-Casseres & Robinson, 2002; Gomes-Casseres, 1998; Parkhe, 1993) – arrangements that are only possible under the best, most open public policy conditions. In this way, we make a valuable contribution to the development of truly synergistic relationships across sectors in the provision of social services.

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Paper Number: PA031347

Paper Title: Re-conceptualizing Sustainability: The Role of Outsiders and the Importance of Human Development

Author(s):

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Summary of Research

This research contributes to an NGO model that borrows from top-down and grassroots development paradigms. Variations of this model exist including 'intermediary NGOs' (Carroll, 1992), 'grassroots support organizations' (Fisher, 2000) and 'bridging organizations' (Brown, 1991). The concept set forth by these researchers refers to organizations that serve networks and coalitions of NGOs. This case study explores the role of individuals within an NGO comprised of both 'insiders' and 'outsiders'. The term 'intermediary' is used to describe how some NGOs act as a bridge for marginalized communities because they facilitate access to external institutions and opportunities difficult to acquire.

Description

International development theory is rife with debates on what institutional structures and development approaches are most effective for Non-Governmental Organizations (NGOs) aiming to bring about sustained changes in the lives of those who are politically, socially and economically marginalized. There is intense interest and controversy over the issue of institutional sustainability of NGOs and the viability of long-term changes resulting from their work. Two general paradigms for NGOs prevail in today's development literature: (1) a top down paradigm that assumes the vertically oriented participation of outside experts and funders and (2) a grassroots paradigm where efforts are primarily organized and led by an indigenous community. There is clearly a need to pursue an alternative conceptual framework that goes beyond these two paradigms; one that considers the role of capacity building in breaking down this dichotomy and creating sustainable organizations in the long run.

This paper will document the experience of an indigenous NGO based in Cairo, Egypt named the Association for the Protection of the Environment (A.P.E.). This NGO currently operates in the Manchiyet Nasser zabbaleen settlement, an impoverished and marginalized community located on the urban fringe of Cairo, Egypt. The main inhabitants of this community are the zabbaleen, Cairo's informal garbage collectors. The unsightly and unsanitary nature of garbage collecting activities has contributed to a long history of confrontation between zabbaleen communities and municipal authorities (M. Assaad and Bruce, 1997; M. Assaad and Garas, 1994; R. Assaad and Pionek, 2002; Volpi 1997). The current Manchiyet Nasser settlement was founded in the 1970's after several government evictions from other make shift, informal settlements. At present it is the largest of four zabbaleen settlements outside of Cairo with an estimated population of 20,000 (EQI report, volume I). Iskander-Kamel (1994), M. Assaad and Bruce (1997) and UNESCO (1999) have documented how income-generating projects established by A.P.E. have upgraded the lives of many who live in the settlement, particularly young women who are traditionally the most oppressed and therefore suffer the greatest hardships.

During the summer of 2002 I spent ten weeks conducting research on the work of this NGO. I focused my research on the Hand Made Paper Project, one of the several income-generating projects that A.P.E. has initiated. Participant observation was a primary research method. Formal interviews were conducted with A.P.E. board members, consultants and staff; formal interviews and focus groups were also held with women who are now working for the paper project and have received a range of services from A.P.E. In total, twenty-one taped interviews were conducted and transcribed; six of these interviews were done with the assistance of a translator fluent in both Arabic and English. The formation and development of this research is the result of an iterative process of reading theory and testing these theoretical concepts against what I was experiencing and observing while in Cairo and at the A.P.E. compound. This research chronicles the challenges and success of the paper project, and serves as a case study from which to link important theoretical concepts related to institutional

sustainability and human development to the day-to-day realities that confront NGOs working in poor and marginalized communities.

Several conclusions resulted from this research. First, there is a need to re-conceptualize the notion of sustainability as it applies to institutions serving marginalized communities. A common theme in the development literature is that "sustainable development requires that improvements continue without continued outside interventions" (Brown, 1991; p. 808). I argue against this definition. In this paper I distinguish between outside actors and donors without significant investment in the long-term viability of a project and outside actors who are emotionally and physically invested in a community and consequently committed for the long term. A great deal of A.P.E.'s success can be attributed to the involvement of non-paid volunteers and consultants, who come from outside of the community being served, yet are tightly linked to the grassroots community.

This research contributes to an NGO model that borrows from both the top down and grassroots paradigms. Variations of this model exist under several names including 'intermediary NGOs' (Carroll, 1992), 'grassroots support organizations' (Fisher, 2000) and 'bridging organizations' (Brown, 1991). The concept set forth by Carroll, Fisher and Brown refer to organizations that serve and hold together networks, associations and coalitions of NGOs. In contrast, this case study explores the role of individuals within an NGO comprised of both 'insiders' and 'outsiders'. In this paper I use the term 'intermediary' to describe how some NGOs act as a bridge for marginalized communities because they facilitate access to external institutions and opportunities difficult to acquire or unavailable to them. This includes access to government bureaucracies, to national and international markets and to the opportunity to attain certain skills. I show through an in depth case analysis how A.P.E. behaves as an intermediary NGO. I contend that this is an effective organizational framework that can inform theory and provide a model from which other NGOs can learn.

Finally, building and strengthening human capital is a significant component of A.P.E.'s overall development philosophy. I argue that focusing on human development, particularly "soft skills" such as emotional development and communication skills is a key to insuring sustained change, in part because it builds organizational capacity and self-advocacy skills. It is hoped that this research will offer important insights into how theoretical concepts are woven into practice along with providing first hand accounts from practitioners and those from the grassroots community.

The organization of this paper is as follows. The first section provides important background information on the people living in the community that APE serves, and explains the extreme hardships associated with their livelihood activity and poor living conditions. I explain how APE evolved and the intriguing circumstances beyond the creation of the paper project. The second section begins with a look at development theory in order to define different types of NGOs, distinguishing between those that are expert and donor driven and those that are grassroots led. I describe a growing type of NGO that is referred to as an intermediary NGO. This section highlights how volunteers behave as an intermediary link to outside resources, and illustrates the dynamic, and often complex, personal relationships that have developed over the course of time. Finally, the third section takes a close look at how involvement with the paper project has contributed to the personal development, and indeed the transformation, of many of the women who are employed in the project, and how this in turn ultimately contributes to the long term sustainability of the paper project.

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Paper Number: PA031352

Paper Title: Advancing by relating: The roles of social networks in human service organization job growth

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Summary of Research

This paper considers the contribution personal networks – both task advice and professional development types – make to employees' advancement in small nonprofit social service agencies. Findings are for data collected from the universe of Chicago metropolitan domestic violence organizations and their employees; 22 of 25 organizations participated, as did 68 percent of participating agencies' workers. In applying the social network perspective newly to nonprofit human service organizations, this paper examines the robustness of past findings for these settings. It also offers context-specific insights to managers and workers about how two types of networks may better facilitate access to opportunity.

Description

The problem and its relation to existing literature:

A well established if eclectic literature has documented the instrumental and support benefits conferred to individuals by their social networks – sometimes conceptualized as social capital (analogous to human and physical capital; Coleman, 1988; Putnam, 1995; see Lin, et al, 2001 for a review). Much of this research has attempted to identify whether and how personal relationships developed by individuals yield employment-related gains in terms of job attainment and mobility (e.g., Granovetter, 1973; Burt, 1992). In one adjustment to previous work, Podolny and Baron (1997) found significant differences in social network payoffs by the function those relationships serve for individuals; dispersion of contacts was conducive for promotion in resource exchange-type networks, but had negative impacts on mobility for networks providing professional mentoring and support. For the latter network type, building denser relationships (cliques) appeared to be advantageous for opportunity attainment.

Past network findings collectively may have limited generalizability to the nonprofit sector by virtue of having been almost exclusively conducted in for-profit, corporate settings, and/or among managers and other high-level professionals. Small human service nonprofits are likely to pose a particularly distinct context, one in which the mechanisms to workplace advancement enabled by social networks may operate rather differently. This paper explores that concern. Its central research question asks what roles employees' personal networks – conceptualized per Ibarra (1997) in the two functions of task advice and professional development – play in their advancement in a population of small nonprofit social service agencies. Through separate analyses, it identifies the unique contributions each type of network makes to workers' opportunity attainment in these settings.

Social network analysis is of course not the only theoretical perspective that has largely passed nonprofit human service organizations by. Research on human resource management and careers that considers how workplace opportunity is provided and in turn accessed has also rarely attended to these settings. This gap in knowledge is likely the result of at least two assumptions about human service agencies: first, that because jobs there are viewed as “callings” pursued by highly intrinsically motivated individuals, efforts to provide opportunities for employee development are unnecessary; and second, that such places are unable to provide these opportunities given resource constraints and small size – so that workers cannot grow in their jobs there. This paper considers the latter issue as an empirical starting point, examining social networks' associations with three dimensions of workplace opportunity attainment: skill development, salary growth, and tradition promotion.

Approach:

Findings reported here are for original data collected from the universe of Chicago metropolitan agencies dedicated to providing domestic violence services; all are nonprofit. At each of the

participating organizations (22 of 25), a head administrator was interviewed using a structured protocol to gather information on agency human resource policies and worker performance; and all workers were given self-administered surveys inquiring about their work histories, social networks, career orientations, job performance, and demographic information. Of the 21 agencies included in analyses (after a pilot study), staff sizes ranged from five to 98 for an employee universe of 701, and the overall employee response rate was 68 percent (from 55 to 100 percent within organizations). Analyses use linear and logistic regression to assess the contributions to job advancement of worker's task advice and professional development networks (Ibarra, 1997), focusing on the network analytic concepts of tie strength and network range, size, and (racial) homophily.

Contributions:

In applying the social network analytical perspective to nonprofit human service organizations, as well as considering the contribution of network function to the payoffs of social capital, this paper examines the robustness of past social network findings for these employment settings. It offers insights about how social networks facilitate employee access to opportunity that serve as more context-specific guidance to both to nonprofit administrators and their employees. For employers, the results reported here identify potential "levers" for managing staff relations to allow for greater employee development (at minimal cost, and with potential returns to service quality). For employees, these "levers" may aid in strategic career planning across a broad segment of nonprofits, as well in smaller for profit firms facing increasing limitations to providing traditional hierarchical forms of advancement.

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Author note: This paper may also fit in the categories of Social and Human Services or Social Capital.

Paper Number: PA031357

Paper Title: Emergent Strategies In A Collaborative Advocacy Network: A Case Study

Author(s):

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Summary of Research

This study suggests that complex systems theory provide a robust framework for understanding social movements and collaborations within them. It draws on multiple methods to develop a case study of an advocacy coalition of diverse organizations which "muddled through" incrementally to substantial political success. It draws on archival material, media and government reports, and participant observation. A self-organizing perspective offered an insightful theoretical approach and explanatory framework for understanding the core factors contributing to the success of this advocacy coalition. Further directions for examining social advocacy movements, and the dynamic tension between the need for diversity and coordination, are examined.

Description

Advocacy coalitions are emerging as an important organizational form as the complexity of the political landscape grows. A considerable amount has been written on the challenges of coordinating diverse groups towards common goals (Windsor, 2002). Canada's Coalition for Gun Control provides an interesting example of a diverse, cross-sectoral organization that emerged and evolved over time, and has continued to operate for more than a decade with minimal resources and considerable success. Networks, partnerships, alliances and coalitions are now commonplace have been studied in the management, strategy and policy literature (Kickert, 1997; Painter, 1997; Huxhaum and Vangen, 2000). Again, most of these studies examine the incentives to collaborate in terms of economic models (Windsor, 2002).

Recent approaches to examining political "issue management" have focused on integrating economic and political strategies drawing across disciplines (Marx, 1992, Shaffer et. all, 2000: Shafer and Russon, 1998). Most of the work is founded on rational actor models of behaviour (Windsor, 2002) even though there is an acknowledgement that "despite the existence of issue management models, some issues still produce unanticipated outcomes" (Rowley, 1996). Political "potency" is defined by size, concentration in a constituency area, intensity of focus on a particular issue, its "respectability," and alliances with other interests of key political figures (Rothman, 1989). Increasingly management strategists are examining political strategy as they have organizational strategy (Hillman and Hitt, 1999: Hillman et. al. 1999) establishing competitive strategies broadly characterized as either informational, financial and constituency building.

A recurrent theme that characterizes accounts of the emergence of the Coalition's network of organizations is the incremental, emergent nature of its organizing processes and management functions. It was not devised deliberately at the onset; it emerged incrementally through repeated trial and error that was woven into a complex organizing fabric through a reflective process of continuous refinement. An initial core set of ideas were adopted as a point of departure for experimentation, discussion, criticism, and modification by key partners. Based on their own personal experiences, the early groups continuously evolved and refined their shared advocacy strategy. The same approach of ongoing, experiential learning set the tone and direction of the development of shared organizational-level organizing principles.

This study suggests that complex systems theory may provide a robust framework for understanding social movements and collaborations within them. Often collaborations are more complex and ambiguous than the literature or prescriptions would suggest (Huxham and Vangen, 2000). Complex system theory suggests that a system as a whole may and does exhibit properties different from those

of its constituent elements, and nowhere is this more true than in the case of advocacy networks or alliances. Given the bounds of rationality, outcomes of organizations are only partly a consequence of planning and partly emergent (Stacey, 1995). For a system to be innovative, creative and changeable, it must be driven far from the stability of equilibrium. In order to make use of disorder, irregularity, and difference as essential elements in the process (Stacey, 1995). Consequently, new strategic directions must be negotiated in real time and cannot be planned in advance. Generally, strategic management planning tools and techniques are not applicable under conditions of great uncertainty (Goldstein, 1994). Many organizations simply 'muddle through' in the strategy process where outcomes are uncertain and unpredictable. The recent paradigm of business strategy - "sense and respond" - suggests that organizations that are most agile flexible are able to adapt to change (Bradley and Nolan, 1998, Haecel and Slywotzky, 1999). In this study, we suggest that successful advocacy organizations exhibit the use of disorder, irregularity, and difference as essential elements of an emergent and dynamic strategy. Based on these exploratory findings, implications for the theory and practice of social action are considered.

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Paper Number: PA031358

Paper Title: Staffing, Retention and Government Funding

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Summary of Research

The research explored the impact of government funding on staffing and retention in nonprofit organizations. Specifically, the study examined the increased dependence on government as well as the changing form of government funding and the implication for staffing and retention. The study found that the increased dependence on government, especially the new form of government funding is shaping the staffing pattern of nonprofit agencies. It impacts not only the recruitment and retention of employees but also the training of employees.

Description

This study analyzes the implications of government contract funding on staffing and retention in a nonprofit agency, the Canadian Red Cross, Toronto Region. Furthermore, the study explains the implications of the staffing pattern on services and on the organization of the agency. Staffing is one area that has not been addressed adequately in the literature on nonprofit organizations.

The study builds on the major theories of government-nonprofit relations developed by Steven Smith and Michael Lipsky (1993) and Lester Salamon (1995). The results are interpreted in terms of these theories.

The results offer some support to the thesis that the new form of government funding impacts staffing pattern, services and organization of the Canadian Red Cross, Toronto Region. The results show that prior to 1997, the agency did not use alternative staffing strategy and staff were recruited on full-time permanent basis. The substantial increase in government contract funding, particularly in 1999 and 2000, significantly impacted upon the staffing pattern of the agency. For those two years, alternative staff exceeded the regular permanent full-time staff. The large increase in percentage of contract staff reflected the injection of government funding through the emergency shelter project at the old Princess Margaret Hospital site.

The findings indicate that contract-based funding leads to the hiring of temporary staff and impacted the retention of employees. Although contract funding has some benefits, temporary staffing is detrimental to the agencies' services. The results highlight how the change in government funding from grants to contracts resulted in the new staffing strategy of the agency and ultimately reduced the effectiveness of the services provided to the community.

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Paper Number: PA031362

Paper Title: Beyond Anecdotes: The Impact of Information and Communications Technology on Volunteer Programs in Canada

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Summary of Research

There are numerous benefits for information and communications technology (ICT) use in the voluntary sector. At the level of the individual volunteer, ICT introduces a new media to involve and manage volunteers. At the organizational level, ICT is thought to provide the sector with a strategic tool to recruit volunteers. While there has been much research on issues of access, there has been little on the capacity of organizations to use ICT effectively. This paper extends our earlier research on the impact of ICT and volunteer management in Canada, by examining more closely the variables that impact effectiveness.

Description

At last year's ARNOVA conference, we reported on an exploratory survey of the impact of Information and Communications Technology (ICT) on virtual volunteering. This was part of a wider study covering many aspects of ICT use in volunteering and volunteer management in Canada. Two reports of this work have subsequently been published online by its sponsor, the Canadian Centre for Philanthropy. They can be found at [<http://www.nonprofitscan.ca/pdf/SR/Murray-SR2-English-Web.pdf>]; [<http://www.nonprofitscan.ca/pdf/SR/Murray-SR1-English-Web.pdf>]

One of the more interesting findings of this research was that, while there seems to be no shortage of prospective volunteers willing to utilize ICT in finding and carrying out volunteer work, there are definite barriers to the adoption, and optimal use, of this technology by managers of volunteer resources (MVRs).

Since the completion of the study reported last year, further funding has been obtained to research in greater depth the nature of ICT usage in volunteer programs. This new research is consistent with previous findings from the first study as well as research that identify the need to examine ICT use from the effectiveness perspective (e.g. Pitkin and Manzo, 2002; Surman, 2001; NonProfits' Technology Project, 1998). The research will survey a large sample of MVRs across Canada.

Among the questions to be examined are these:

- To what extent do environmental factors such as leadership and new work demands impact ICT use and effectiveness?
- To what extent does involvement of the Manager of Volunteer Resources (MVR) in ICT decisions affect their acceptance, use and benefits?
- Does involvement of the user in ICT system design and development (such as online recruitment programs) impact its usage and effectiveness?
- How do the attitudes of MVRs toward change and innovation affect the acceptance and choice of technology and the outcomes it achieves?

The proposed paper will present the first results of this more in-depth look at the positive and negative forces affecting the successful application of ICT to volunteer recruitment and management.

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Paper Number: PA031365

Paper Title: Nonprofit Organizational Identity, Image, and Dynamic Adaptation in Diverse Contexts

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Summary of Research

Organizational identity has typically been defined as the unique and enduring characteristics of an organization. This article explores the dynamic and fluid relationship between organization identity and organization image through the lenses of 22 executives in charge of leading diversity efforts in large US nonprofit organizations. The dynamic interchange between organization image and identity results in change associated with the diversity-related interests of nonprofit organizations and their stakeholders.

Description

In recent years, exploration of organizational identity and image has intensified. Both concepts have the capacity to address individual and organizational levels leading to insight about organizations and their members in a multilevel context (Gioia, Shultz, & Corley, 2000). Despite this growth, few studies to date have examined organization image and identity in nonprofit contexts. For the purposes of this exploration, organization identity will be defined as those elements associated with an organization's character that are unique and enduring (Albert & Whetten, 1985). Organization image will be defined as the public's perception of a given organization (Berg, 1985).

Although few scholars have explored diversity issues in the context of nonprofit organizations, ongoing demographic changes and globalization have led to increasing interest in the manner in which organizations do and should manage ongoing changes of the US intercultural landscape. Because nonprofit missions often seek to address community interests through organizationally sponsored services and knowledge transfer, nonprofit organizations are experiencing diversity at many levels. These dynamics have led many large nonprofits to create specialized positions focusing on diversity issues, or to assign diversity related concerns as a significant portion of a centralized manager's responsibilities.

The present study was part of a larger project that sought to understand the dynamics experienced by large nonprofits in multicultural contexts. A qualitative format blending individual interviews (Lincoln & Guba, 1985) with follow-up focus groups (Krueger, 1994) was used to explore diversity in nonprofit contexts. The primary data collection method utilized was semi-structured, in-depth interviews that focused on incidents and actions taken by managers leading diversity programs in large nonprofit organizational settings.

Key findings of the study confirmed previously theorized interrelationships between organizational identity and image as dynamic and interrelated. Additionally, the study is the first known to contextualize identity and image theory in the association with diversity issues in nonprofit organizations. Findings include an exploration of the interchange of internal organizational culture, functions and identity in interaction with external functions and image. Organizational diversity leaders were found to assist nonprofits in negotiating the interchange between the internal culture and demographics of the nonprofit with the external demands placed on it by stakeholders.

The dynamic interchange led to perceived uncertainty by both organizational and community members. Despite ongoing ambiguity, productive and meaningful interchange leading to the emergence of overlapping interests and actions were seen to have led to interchange and strengthening of relationships between nonprofit organizations and community members. Perhaps more importantly, those nonprofit diversity leaders who reported their organizations to be responsive to diversity-related feedback from stakeholders reported changes in both organizational identity and image. Although nongeneralizable, study findings support theories describing organization identity and image as unstable, but adaptive.

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Paper Number: PA031367

Paper Title: High Impact Capacity Building

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Summary of Research

Capacity building programs have had mixed results and grantmakers are searching for guidance on how to improve their outcomes. This study analyzes and compares a large number of capacity building programs and develops a typology of three general approaches. Findings from over 100 interviews reveal that there are significant disagreements among capacity builders on factors important to organization change and how consultants can be effective. These differences manifest themselves in very different approaches to capacity building. Theory is developed to explain capacity building effectiveness based on issues raised in interviews; evaluation studies; and research on organization change.

Description

Problem statement

Concern about the quality of nonprofit management has led grantmakers to invest substantial sums in capacity building. Both technical assistance grants and management development grants have increased significantly over the past five years. Yet, grantmaker interest in helping nonprofit effectiveness has outpaced the field's knowledge of what does and does not work. Program evaluations show that results are mixed, and some grantmakers are disappointed in their results, as grantees remain unstable despite years of investments. Many grantmakers conclude that improving grantee performance is more difficult than they anticipated. Leaders of GEO express concern that weak results from poorly designed or implemented programs will cast doubt on the value of such investments. The purpose of this research is to understand critical features of capacity building programs, particularly features that lead to challenges in implementation and weak results. This analysis will help designers of capacity building programs to develop programs that promise better outcomes.

State of knowledge in the field

A wide range of capacity building programs exist, each based on a set of assumptions and beliefs about how organization change and how consultants can help. These assumptions lead to policies and practices that form a coherent approach to capacity building. Yet prior studies have not examined programs in a holistic manner or examined underlying assumptions, reporting instead on a range of practices as though they are optional components of any program. Such descriptions offer few insights about the potential effectiveness of a given program.

Evaluation studies offer some insights about the challenges faced by individual programs and explanations for mixed results, but few have included information on long-term change, and no studies are comparative. While research on capacity building is meager, there is a vast literature on organization change and organization effectiveness that is relevant to the design of capacity building programs. A limited number of studies focus specifically on nonprofits, while others offer general insights about determinants of organization change and performance.

Approach

This study is based on two sources of information. 1) An analysis of existing research on capacity building, organization theory, and organization development. In addition to the large body of research on organization change and organization effectiveness, more than thirty evaluations of capacity building were reviewed. 2) Interviews with experienced capacity builders.

Interviews were conducted with more than a hundred individuals experienced in capacity building work – primarily foundation staff, intermediaries who design programs and consultants who provide assistance to nonprofits. An initial round of interviews, from October 1999 through December 2000 provided an important “view from the field” that helped shape the rest of the research. Additional interviews were conducted between mid 2001 and January 2003.

In general, questions were asked about the details of program implementation, program effectiveness, evaluation methods, lessons learned, program improvements and continuing challenges. Experienced capacity builders were asked about their successes and failures -- grantees that achieved significant improvement, and those that failed to make progress. Thirty capacity building programs were studied in greater depth, many with long histories and approaches that have evolved over time. From these programs, a typology was developed of three general approaches to capacity building, designated as Capacity Grants, Development Partners and Structured Programs. Nine programs were selected to illustrate these general approaches.

Contribution

The primary contribution of this study is to provide insights for designers of capacity building programs, often grantmakers or intermediaries.

- The typology of approaches facilitates the discussion and comparison of programs, highlighting critical features. The descriptions make it easier for grantmaker's staff and board to discuss issues and make choices. Of particular importance is the recognition of assumptions and beliefs that often limit the choices available to grantmakers, but are often implicit and never discussed.
- While evidence of effectiveness is far from conclusive, this study draws on findings from evaluation studies and organization research to suggest critical issues. Designers should consider carefully how to deal with these issues.
- Rich descriptions of nine programs offer designers a better understanding of the challenges of implementation.

This study also makes an important contribution to research by developing theory that can be tested empirically. Factors are identified that are hypothesized to affect outcomes, and can be used to evaluate capacity building programs.

Paper Number: PA031368

Paper Title: Question of NGO Legitimacy in Policy Formation -- A Case from Japan

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Summary of Research

This paper will examine the role of nongovernmental organizations (NGOs) in policy formation, with a particular focus on the question of their legitimacy. In Japan, as NGOs have begun to strengthen their advocacy work, some have started to question whose voice they represent. We need to situate the understanding of NGO legitimacy among NGOs and scholars in Japan within the larger context of international debate on this question, and thereby demonstrate how Japanese experience can be used as a case of a complicated path that shows how NGOs could effectively strengthen its policy work.

Description

1. The problem or issue to be addressed

The question of NGO legitimacy is a complex one. NGOs that are active in policy work are often asked a question, "whose interest do you represent?" In recent years, the importance of maintaining the legitimacy that comes from direct contact in consultative and participatory way with individual beneficiaries of the poor has been emphasized (Borden 2003). Along with accountability, legitimacy has become a popular subject among researchers and practitioners, accordingly. Indeed, some successful international campaigners that are engaged in global policy or advocacy work have already gone through this debate and seemed to come out with a clear understanding of their legitimacy.

□ In Japan, however, the debate has just come to a starting point. As more and more NGOs have begun to strengthen their advocacy work, some in the mass media have already raised question about □gwho they are.□h Accountability and transparency of NGOs and nonprofit organizations have been called into question, but we do not yet hear the word legitimacy in the same manner.

□ This paper will situate the understanding of NGO legitimacy among NGOs and scholars in Japan within the larger context of international debate on this question. In an effort of disseminating the concept of legitimacy to Japanese NGOs, donors and the general public, the authors will discuss its relationship with constituency building, accountability (downward accountability, in particular), and governance, and introduce the concept of legitimacy chains. The authors will at the same time demonstrate how Japanese experience can be used as a case of a complicated path that shows how NGOs could effectively created a popular base and strengthen its policy work.

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

It is commonly known that NGOs have shifted from a "development as delivery" to a "development as leverage" mode (Edwards, 2002). Indeed, while NGOs continue to play a service-delivery role in the field, they have gradually utilized their knowledge and experience on the ground as a leverage to make structural and policy changes and begun to consider a range of strategies of "scaling up" in order to make more of a difference (Hudson 2000). This is what David C. Korten in 1990 called the role of NGOs in □gfourth generation□h (Korten 1990).

□ Looking at the trends in Japanese NGOs, we can observe a number of environment advocacy groups which have traditionally been very active in policy work. Engaging in policy and advocacy has also become a trend for development NGOs that

have been in the development as delivery model. Still, the issue of legitimacy has not been discussed thoroughly among NGOs or scholars in Japan while there have already been efforts, mostly in the press and in the political arena, to undermine NGO policy work by alluding their apparent weakness in legitimacy.

The authors therefore believe that this is a timely issue to be dealt with. At last year's ARNOVA conference in Montreal, the authors presented a paper titled, "Shifting Paradigms for International NGOs and Constituency Building -- Evolving Scene from Japan," and the paper this year will be a sequel and a natural expansion of the last year's discussion.

3. The approach the authors will take (including data sources)

The authors will begin by a critical survey of existing literature on this topic and set the stage for adequate discussion on the question of NGO legitimacy. The authors will then collect data by a questionnaire to and/or interviews with Japanese NGOs that are active in or have begun policy work, and analyze the results in a qualitative method.

The authors are also part of the CSO Network Japan (www.csonj.org) which is planning to hold a CSO Forum in Tokyo in September 2003 where this very question of NGO legitimacy will be addressed. The discussion will involve invited speakers from the U.S., the U.K. and developing countries as well as from Japan. The Forum will serve as an opportunity for the authors to expand the network of NGOs and scholars who are working on the issue of legitimacy and also to enrich perspectives in discussing this topic when we present the paper at the ARNOVA conference.

4. The contribution to the field the work will make

The authors believe that this paper will serve to enrich a discussion on this important topic within the voluntary sector. As the focus of the sector moves to advocacy and policy work, the question of legitimacy, accountability and governance is the one that requires critical thinking of both scholars and practitioners, and the authors, as Japanese practitioners, would like to make a unique contribution.

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Paper Number: PA031369

Paper Title: "Digital Divide" And Information Technology Capabilities: Opportunities and Challenges for North Florida's Nonprofit Organizations

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Summary of Research

Various observers offer anecdotal evidence that a "digital divide" exists across various groupings of nonprofit organizations. In an increasingly digitized and mobile society, information technology has become a critical resource for nonprofits such that, if such a divide does exist, it has major significance for the study of nonprofits and for public policies that depend on the services that nonprofits provide. This paper draws on a series of focus groups and a survey of nonprofit organizations in 19 North Florida counties to address the underlying assertion of the divide's existence and to explore dimensions that differentiate the divide.

Description

Much has been written about a "digital divide" that reveals how lower socioeconomic groups in society lag substantially behind other groups in terms of their computer capabilities. Others have speculated that a similar divide exists among different types of nonprofit organizations. Moreover, many have offered anecdotal evidence suggesting that some sub-sectors among the nonprofits have distinct deficiencies in terms of their information technology (IT) capabilities and could benefit greatly if they were able to upgrade their capacities. There is little question that in an increasingly digitized and mobile society, IT has become an increasingly critical resource for nonprofits.

The main objective of this paper is to understand how nonprofit organizations adopt IT in 19 North Florida Counties. The specific objectives are twofold: (1) to identify the IT usage facilitating organizational activities; and (2) to investigate the pattern of inter-organizational relations and institutional arrangements that facilitate the adoption of specific information technology. In order to elicit information to answer the research questions, five focus group interviews were conducted with 8 to 11 participants each. They were selected based on four characteristics: nonprofit mission, governance structure, physical location of the organization, and organizational size to allow for homogeneity, but with sufficient variation or diverse characteristics of nonprofit organizations in North Florida to generate contrasting perspectives and experiences.

Our preliminary findings, based on the focus group participants' responses, suggest several major themes regarding the adoption of IT: (1) IT daily usages i.e., data management, disseminating information, retrieving information, sharing information, and managing relationships; (2) multiple sources of innovation i.e., informal and formal networks as sources of innovation; (3) structural and institutional constraints i.e., board members, grant and program requirements.

The findings on the existence and nature of a "digital divide" among nonprofits are the most important set of conclusions generated in this study. As a next step, however, we have crafted a survey to capture how computers are being used, how knowledge and information are being managed, and the institutional, capital, and labor constraints that exist across organizational size, geographic location (e.g., urban/rural), and mission. From survey findings we anticipate generating a model for measuring the extent to which individual organizations have moved from the traditional IT paradigm to a more strategically-oriented knowledge management approach.

Paper Number: PA031372

Paper Title: Do Managers In Human Services Organizations Act As Buffers Or Conduits Of Institutional Influence?

Author(s):

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Summary of Research

Neo-institutionalists investigate how organizations respond to dominant ideologies in their institutional environment. This paper investigates whether or not organizational managers act primarily as buffers or as conduits of institutional influence. Using data from three case studies of youth development programs, the paper seeks to better our understanding of the role managers play in institutional processes, not simply by determining whether or not they buffer or facilitate institutional influence, but rather by adding to our understanding of what we mean by these terms in the first place.

Description

At its heart, institutional theory examines how higher order forces influence and shape structure and action of lower order entities. Applied to the study of organizations, neo-institutionalists have argued that organizational structures tend to conform to dominant norms or ideologies in the institutional environment of their particular industry or professional field. Where an industry or field is particularly well organized, institutionalists expect to find a high degree of "structural isomorphism". That is, the variance in organizational forms decreases due to wide spread acceptance of a relatively well-articulated template for what organizations of a particular type (say, schools) are supposed to look like in terms of their basic structures.

While the study of the influence of the institutional or political environment on organizational structures is interesting and important, mainstream neo institutional analyses sidestep the most interesting questions with regard to the relationship between organizations and their environment: this has to do with whether or not norms, ideologies and templates influence – not only the structure of organizations – but their conduct as well. On this question, institutionalists themselves seem to be split. One camp appears to accept Thompson's notion that organizational management develops structures primarily in order to buffer the technical core of organizations from the vicissitudes of its task and institutional environments. Another suggests that the inclination to buffer as well as the ability to buffer is variable and depends on a number of contingencies.

This paper investigates whether or not organizational managers and the structures they erect act primarily as buffers or as conduits of institutional influence. To do so, I examine how three youth development programs in a large Midwestern city respond to their institutional environment. In each case, both the structures as well as the technology of the youth program are examined. The objective of analysis is to discern whether or not youth programs embrace the dominant ideology of youth development work beyond the symbolic level of what Edelman calls "structural elaboration" (1991) and actually incorporate these principles into the actual technology of the programs themselves.

Data collection methods

The paper will present case study data on the organizational technologies of three different youth development organizations located in a single urban neighborhood of a large Midwestern city. The presentation of program technologies will reflect a conceptualization of youth development technologies based on the work of Hasenfeld (1983) that breaks the concept into five separate dimensions: knowledge base, selection of clientele, worker-client interactions, control of clientele and operations. The purpose of this paper is primarily descriptive. It will present fine-grained comparisons of the three case study programs' actual practices and in doing so, it will allow us to examine consistencies and inconsistencies with the dominant ideology in the field in a more systematic and less anecdotal fashion.

The case studies also prominently describe the role of organizational management personnel and investigate whether they see their roles as primarily one of protecting youth workers' autonomy or as one of structuring and molding the practices of youth workers so as to conform to the norms and expectations being communicated to the organization from various authoritative bodies in the institutional environment.

It is important to note at the outset that the purpose of this paper is not to test theory but rather to refine the questions that neo institutional theory asks about the connection between organizations and their institutional environments. Using case study observation and interview methods, the study will attempt to address the following sets of questions: under what conditions do managers act as buffers of the technical core of their organizations and under what conditions do they act as conduits to such influences? What does buffering mean? What actions does it entail? Is it a conscious set of actions or can it be accomplished without self reflective action on the part of managers? What resources are necessary for managers to effectively buffer their organizations and programs from environmental influences? And similarly, what resources are necessary for institutional influences to be effectively communicated by managers when they choose to act as conduits?

This paper seeks to contribute to our understanding of whether and how institutions effect human service organizations. It deepens institutional theory by tracing the actual mechanisms by which norms and ideologies are communicated from the abstract realm of ideas and intentions to the concrete forms of program policies, structures and technologies. Additionally it deepens our understanding of the role that various actors play in these transmission processes by detailing the strategies and methods that managers utilize to either deflect these principles or substantively manifest them in the practices of the organization. Finally, it will help us add conceptual depth to important organizational concepts such as "organizational technology", "buffering" and "adoption" or "rejection" of institutionalized norms.

Paper Number: PA031379

Paper Title: Governance and management structures of membership-based international nonprofit organisations

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Summary of Research

The purpose of this paper is to describe and analyse governance and management problems in organisations that are a) democratic, b) international/multicultural, c) membership-based, and d) nonprofit making. Against the background of a general look at some of the underlying challenges and dilemmas involved in dealing with members and managing cross-nationally in diverse cultural, political and economic environments, the paper identifies basic organisational models for governance and management. These models were compared to the actual structures of four international membership nonprofit organisations.

Description

The purpose of this paper is to describe and analyse governance and management problems in organisations that are a) democratic, b) international/multicultural, c) membership-based, and d) nonprofit making. Despite the striking rise in profile many of these organisations have experienced we know very little about their governance and management problems and structures. We suggest that these organisations face a very high level of complexity in their mission, task, and resource environment. What governance and management structures do these organisations adopt to deal with this complexity?

We build mainly on previous work on membership organisations (e.g., Lansey 1997, Young 1992, Young et al. 1996) and international nonprofit organisations (e.g., Clark forthcoming, Hudson and Bielefeld 1997, Lindenberg and Dobel 1999, Young et al. 1999). Against the background of a general look at some of the underlying challenges and dilemmas involved in dealing with members and managing cross-nationally in diverse cultural, political and economic environments, the paper identifies basic organisational models for governance and management. These models were compared to the actual structures of four international membership NPOs: Amnesty International, GreenPeace, Friends of the Earth, and the Federation of Red Cross and Red Crescent Societies.

We found that 1) membership is a very ambiguous concept that varies both within and between different NPOs; 2) remaining accountable to a global membership base poses new governance challenges that remain largely unsolved; 3) international NPOs tend to adopt federation structures and there is a wide range of federation-like structures that deserve closer analysis; 5) some NPOs have adopted a franchise and licensing growth strategy that poses interesting theory and policy questions; and 6) given present trends we believe that decentralised federation structures, like the 'bumble bee' structure, will be the structures for the future of these organisations. These findings both agree and disagree with previous academic work on international NPOs and suggest critical areas for future research.

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Paper Number: PA031381

Paper Title: Managing the paradox: civil society organisations, resource dependence and political independence

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Summary of Research

This paper examines the relation between funding and independence of civil society organisations (CSOs). It tests the hypothesis commonly found in the literature that receiving government funding compromises the political independence of CSOs. In other words, it asks whether CSOs can 'bite the hand that feeds them' - criticising the government while receiving government funding. To address this question, this paper draws on a comparative study of environmental CSOs in two countries: Mexico and Portugal.

Description

Civil society's role as countervailing power to the state is increasingly recognised as essential to effective democracy and good governance (Lewis, 2001). This role requires a strong degree of independence of civil society organisations to enable effective monitoring of the government as well as the ability to voice member and beneficiary concerns (Edwards and Hulme, 1995). However, due to current interest in partnership and contracting between CSOs and the government, the government and official donors are often the most important source of funding for CSOs (see Johns Hopkins Comparative Nonprofit Sector Study). This closeness to the government and official donors has led to a fear that CSOs are losing their independence and becoming accountable only to their funders (Edwards and Hulme, 1997). Resource dependency theories (e.g., Pfeffer and Salancik, 1978) and common sense tell us that 'who pays the piper calls the tune'. There are numerous references in the nonprofit and NGO literature (e.g., Gronbjerg, 1993; Smillie, 1995; Smith and Lipsky, 1993) to the dangers of government funding in bringing about co-optation, distortion and even corruption of CSOs' missions and in impairing civil society's impact on society. On the other hand government funding tends to be more reliable than other types of funding, providing essential stable resources in uncertain environments (Gronbjerg, 1993). Thus CSOs face a 'government funding paradox'. Because of its reliability government funding reduces resource uncertainty and frees CSOs to pursue their mission. However, CSOs receiving government funding are often less able to pursue their mission because of attached demands and conditions.

This paper examines the possibility of a 'government funding paradox' and its implications for CSO political independence. Is CSO independence compromised by state funding? If so, how? Can CSOs ever 'bite the hand that feeds them' - criticising the state while depending on state funding? Can they remain simultaneously accountable to the state and to their members (Edwards and Hulme, 1995)? These questions are central to the understanding of civil society and its relation with the state, but have thus far been under-theorised.

To address these questions, this paper draws on a comparative study of environmental CSOs in two countries: Mexico and Portugal. While comparable these countries present very different funding opportunities and very different relations between CSOs and the state. Both countries have recently undergone fundamental transitions (increasing democratisation and entry into major trading blocks) that have laid bare some of the fundamental influences in the relations between civil society and the state. They thus provided a very rich context for empirical observation.

The evidence collected shows that, contrary to initial expectations based on the literature, government funding was neither necessary nor sufficient to compromise CSO independence. CSOs can and often do pursue strategies to maintain their independence even in conditions of high reliance on government funding. Under the right conditions CSOs can and do 'bite the hand that feeds them' and participate in monitoring the government while still cooperating with the government in various projects. This paper

elaborates on what these strategies were. On the other hand, CSOs that do not receive government funding can still be co-opted by the state or other actors and prevented from effectively monitoring the government or pursuing their project priorities.

Although co-optation and loss of independence was a real issue these findings call for a more nuanced understanding of the relationship between resources and organisational independence. We must question the use of government or state funding (as % of total funding) as a single indicator of CSO (in)dependence. This paper also argues that independence level itself can be strategically chosen rather than determined by funding sources. As such, independence strategies may cause rather than be caused by different levels of government funding. Government funding will often condition CSOs and generate dependence as well as endanger organisational and work sustainability. But, under certain conditions, reliance on government funding can generate significant transaction costs savings leading to greater efficiency, even in advocacy work. Under the current level of government attention and support to civil society organisations, many CSOs must understand and manage the 'government funding paradox' if they are to make the best of all available funding opportunities while remaining independent and accountable to both members and funders.

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Paper Number: PA031383

Paper Title: Growing a New Cadre of Board Members: Mobilizing MBA Students Through Board Fellowships

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Summary of Research

A new cadre of committed, highly skilled board members is needed to lead the growing number of U.S. nonprofit organizations. In response, the Board Fellowship Program at the University of Michigan has placed 40 selected MBA students on the governing boards of nonprofit organizations as participating, non-voting Fellows for the year 2003. Fellows obtain firsthand insight into an actual board's work, as well as contribute to the board's success through a research project that leverages their advanced skills. The respective benefits and responsibilities of the nonprofits and the graduate students, and an initial evaluation are presented.

Description

A new cadre of committed, highly skilled board members is needed to lead and support the performance of growing numbers and needs of U.S. charitable nonprofit organizations (Cf. Hodgkinson & Steuerle, 1999; Letts, Ryan & Grossman, 1999). In response, the Board Fellowship Program at the University of Michigan's Nonprofit and Public Management Center has placed 40 selected MBA students on the governing boards of nonprofit organizations as participating, non-voting Fellows for the year 2003. Fellows obtain firsthand insight into an actual board's work, as well as contribute to the board's success through a research project that leverages their advanced skills. The board sites range from major medical centers and museums to small, grass roots community organizations. Three-fourths are within driving distance, while the rest are located across the country. They cover a broad spectrum of organizations in arts and culture, social services, health, and education.

Students apply to participate in the program and are matched to organizations based on the mutual interest of both parties. Students participating in the program must have: A record of academic and professional excellence; Knowledge and skills relevant to the particular agency; Sensitivity and commitment to issues of community needs, financial concerns, and confidentiality, and a commitment to serving the nonprofit sector.

Successful applicants serve as non-voting board members for a 12-month period from January to December, gaining an understanding of the challenges facing nonprofit organizations, as well as the complexities of nonprofit management. Board Fellows work closely with the board and executive director of their assigned organization, attend board meetings, serve on committees, and learn about issues facing the board and staff. Students also utilize their analytic and management skills to conduct a consulting project that is designed to meet the needs of the organization. These projects are intended to benefit the organization and be manageable in light of the students' other academic demands.

The nonprofit organization provides opportunities for the student to participate fully in the work of the board. The organization will also assign a mentor to each student to explain necessary background information and to facilitate the student's contribution to the board.

Benefits to and Responsibilities of Students of Serving as a Board Fellow: Meaningful opportunity to participate in the management of a nonprofit organization; Professional knowledge and skill in board governance; Skills for effective collaboration with community leaders; Opportunity to integrate tools learned in the classroom with the fellowship experience

In turn, a Board Fellow is responsible to: Attend all board meetings and serve on one board committee; Help with and attend special events; Receive support and mentoring from a sponsoring board member; and commit time approximately that of a full board member (typically 8-10 hours per month). They must also complete a research project within the board and committee work that leverages MBA-level skills, such as;

Conduct cost/benefit analysis, marketing analyses and plans, strategic planning, assessment of customer satisfaction, volunteer management, and evaluation of finance and funding opportunities .

Benefits to and Responsibilities of the Organization include: Addition of new perspective and input in board decisions; Access to students' knowledge and skills in a project to benefit the organization; Relationship with potential candidates for future board and staff positions; Linkage to the faculty, students, and knowledge sources of the University of Michigan

In turn, the organization is responsible: to provide a member of the board who will serve as the fellow's primary contact and mentor; Provide a formal introduction to the organization's work and expectations for board members; Keep the board fellow informed about organizational developments; Communicate consistently and provide feedback about the progress of the fellow's project, and Conduct a final wrap-up meeting with the fellow.

The presentation will profile the MBA students who participated, summarize their projects, and provide an initial evaluation of the program. It will also compare this program to other initiatives at U.S. Business Schools that involve students in nonprofit boards.

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Paper Number: PA031387

Paper Title: Estimating Corporate Charitable Contributions

Author(s):

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

Summary of Research

Corporate giving usually forms between 5 and 10 percent of all estimated charitable contributions in the United States (AAFRC Trust for Philanthropy). Corporate deductions for charitable contributions are reported by the Internal Revenue Service two or more years after the end of a tax year. Practitioners and scholars of charitable giving desiring a reliable value for corporate charitable contributions while awaiting the tax data must rely on estimates using econometric modelling procedures. This paper discusses a process that reviewed 19 potential variables in more than 700 combinations to arrive at a recommended best model for estimating corporate contributions.

Description

Our task was to test corporate giving estimating procedures and to recommend one that demonstrated low bias, low squared error and low absolute error when used for out-of-sample estimating for the 1990s. There were several steps to the process.

The 19 variables tested systematically in this process include three types:

Dollar value variables, deflated by price index and differenced

Standard & Poor's 500 index

Gross Domestic Product

Personal income

Corporate pretax profits

Gross Private Domestic Investment

Personal Consumption Expenditures

Private Industry Income

Manufacturing income

Corporate foundation giving

Difference in private inventories

Real variables (Tax and Share variables)

Level of Corporate tax rate

Difference of Corporate tax rate/Manufacturing/Private Industry Income

Share of manufacturing to Private industry income

Index variables

Purchasing managers index

Change in Purchasing Managers Index

Consumer confidence index

Change in consumer confidence index

Dummy variables

Recession year

Tax law change

Step 1) We ran 10 years of out-of-sample forecasts with one variable at a time, comparing bias, SE and MAE, and ranking the models which look most promising.

We used a regression equation in which change in corporate giving this year is a function of change in corporate giving one year's ago (lagged 1) plus change of one other variable

We did this for all 19 variables and did it again for all 19 variables with a lag of 1, then again using both contemporaneous values and lag 1 values. Then we sorted each group based on the bias, SE and MAE and identified variables that either contemporaneously or in lags showed up repeatedly in the upper ranges.

Five variables were ranked in the top group. From those five, four models were constructed to test in step 2.

Step 2) A TSP batch program was developed which ran a total of 190 regressions on each run. This was accomplished with the use of two nested "do-loops". The "inner loop" rotated over years and provided two step ahead forecasts based on information from the beginning of the available series (which differ depending on which variable is used but no earlier than 1948) up to two years prior to year forecast. Thus, a forecast was made for 1990 using information up to 1988. Then, in a second pass through the inner loop, a forecast was made for 1991 using information up to 1989. This was done 10 times to obtain forecasts for 1990 to 1999, always using data from two years prior to the year of forecast for an out of sample prediction.

Given the number of variables under review and the number of different models suggested by the permutation of these numbers, an "outer loop" was developed where on each run of the program, variables would be rotated into a "base model" and the ordinary least squares regression was then done and performance indicators stored. For example, say that the base model includes a constant, corporate giving lagged, corporate pre tax profits and corporate pre tax profits lagged and the S&P 500 (real differences taken in each case, see note to step 1). Then, on the first pass through the outer loop of the TSP program (which of course will involve looping 10 times over the inner loop to give 10 years of forecasts) variable one was added to the list of variables in the base model. (On a technical note, variable one happens to be real differenced S&P500 so the rotated variable is the same as a variable already in the base model. This would normally cause the problem of singularity in the regression procedure however TSP is able to handle this through the use of generalized inverses.) On the second pass through the outer loop, variable two, which happens to be real differenced GDP, is rotated into the regression. This was done a total of 19 times going through all the variables suggested by the committee summarized above.

This process of running the various models enabled a fairly extensive search among the different models possible. The base models with an initial set of variables were suggested by step 1 which ranked models based on their performance in minimizing bias, squared errors and absolute errors. All of the models were compared and the frequency with which each variable appeared in the set of regressions was compared.

The variables S&P500, GDP, Corporate pretax profits, Gross Private Investment, Consumption Expenditure, Change in corporate tax, Private Industry Income, Corporate Foundation Giving and Change in Private Inventories were variables that seemed to matter in that they appeared at least once in the top ranked models.

Guided by this now expanded list of variables, further combinations were tried as base models and submitted to the TSP program. In all, a total of 37 base models were submitted to the TSP program which itself rotates in 19 variables on its run. Base models range from the simple case of just 2 variables, the constant and lagged real differenced corporate giving, to models with up to 10 variables. Variables were entered contemporaneously or lagged once. Thus, somewhere near 700 models (and 7000 regressions when done over years) were done on the available set of data.

In order to sort through the many models developed to this point and hone in on a handful of models

that would be candidates for further evaluation, a simple metric was used. The bias, squared error and mean error of each model in its two step ahead forecast (TSP provided 19 for each run of the program as it rotated variables in) was placed in an Excel spreadsheet. After the 37 base models were run and all the figures entered into Excel. Then, models were ranked according to their performance. After each sort, a rank score from 700 (best) down to 1 (worst) was assigned. The result was the model with the lowest bias was assigned 700 and the model with the largest bias was assigned 1 (bias was converted to absolute value for this sort). The same rank scoring was applied to squared error and mean absolute error across the different models. Finally, the three rank scores were summed and sorted to arrive at the handful of models investigated further. On this methodology, the highest possible score was 2100. The highest score was 2,067 which shows that models either did well across all three criteria and ranked highly or did not do well across the three criteria.

Among the 700 models tried were the models used in the 2002 edition of Giving USA (model 1) and the analogue to Deb, Rooney and Wilhelm model for individual giving (model 2) (NVSQ, forthcoming).

Model 1 ranked 376 out of the 700 models so ranked. Clearly many models out performed this. Model 2 fared fairly well despite the fact that it was applied to individual giving and the analogue to various individual variables to a corporate setting is tenuous. Model 2 ranked 51 out of 700 models.

Step 3) Parameter estimates for the top four candidate models were generated and compared. Based on these results, it appears that the model with the best out of sample performance is model 3. However, this model also has comparatively high standard errors. The high standard error for coefficient 2 is troubling because the prior year's difference in corporate giving is itself an estimate. Thus the two step ahead forecast becomes a multiplicative function of this coefficient and coefficients that make up the one step ahead forecasts. Another fact that illustrates the problem and my reluctance to use model 3 is that in the 10 regression that were needed to produce the 10 year series of predictions, the coefficient changes signs.

The model we recommend is based on changes in inflation-adjusted values for corporate giving lagged once (change last year compared to year before that), corporate pretax profits, corporate pretax profits lagged once, personal consumption expenditures, and changes in highest statutory corporate tax rate.

Paper Number: PA031388

Paper Title: The Role of Nonprofit Organizations in Policy Diffusion Across States: The T.E.A.C.H. Model

Author(s):

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Summary of Research

This paper is a qualitative analysis of the role nonprofit organizations play in the transfer across states of policy for child care workers. While there have been quantitative studies of policy diffusion, there is little qualitative research on how nonprofit organizations interact with policy actors and political structures in the diffusion of policies. The paper uses case studies of the diffusion of T.E.A.C.H.® Early Childhood Project to four states. It introduces a three-phase model for policy diffusion and outlines participation of nonprofit organizations in policy networks. This research has application for policy diffusion theory and nonprofit advocacy research and practices.

Description

Over the past twelve years, different policy models for improving the training and compensation of child care workers have been developed in a handful of states and subsequently transferred to other states. This paper is a qualitative analysis of the role nonprofit organizations play in the diffusion of the T.E.A.C.H.® Early Childhood Project across four states. T.E.A.C.H., which originated in North Carolina in 1990, now operates in over 40 percent of the states and continues to spread. The T.E.A.C.H. name is a registered trademark of the Child Care Services Association (CCSA), a nonprofit organization in North Carolina. The initial discovery and adoption of T.E.A.C.H. in a state involves the activity of CCSA and other national, state, and local nonprofit organizations in collaboration with political figures, public agencies, and business. Through these collaborative efforts, the T.E.A.C.H. model is diffused from North Carolina to the states through use of national platforms and local policy entrepreneurs, and eventually to state policy makers who authorize state funding which then facilitates statewide use of the T.E.A.C.H. model.

Current research on the diffusion of policy across states largely uses quantitative studies to explore regional diffusion patterns, policy entrepreneurs, party structure, and interstate professional associations in the transfer of policy (Berry and Berry, 1990; Mintrom, 1997; Colby and Baker, 1988; Balla, 2001). Missing from this research is in-depth qualitative research to validate and further inform these studies particularly with regard to individuals and organizations that connect different elements of the diffusion puzzle through their interactions and relationships. Also, little has been done to conceptualize and outline the parameters of policy diffusion itself.

This paper uses case studies of the diffusion of the T.E.A.C.H. model to four states: Florida, Pennsylvania, Indiana, and Washington. The analysis is based on 50 semi-structured, face-to-face interviews with the leading nonprofit, government, and business figures involved in the discovery, adoption, and initial implementation of a T.E.A.C.H. model program in the four states. Research questions broadly address:

- key players (individuals and institutions) and formal and informal networks involved in the origination of T.E.A.C.H. in a state;
- advocacy strategies to promote the model;
- barriers faced in promoting the model;
- cultural, economic, and political factors involved in the adoption of T.E.A.C.H.

Analysis of the data identifies three different phases in the diffusion process: initial policy transfer, state-wide funding of the policy, and state-wide local use of the policy. For each phase, interactions and relationships between major actors and organizations are outlined and contrasted and compared across the different political and economic environments of the four states. The analysis pays particular attention to the transition between each phase which is marked by a period of intense diffusion of the

policy to individuals and entities.

This paper provides a qualitative analysis of the role of nonprofit organizations and their relationships with individuals and other entities during the process of policy diffusion. Identification of the phases of policy diffusion and networks between actors and institutions helps draw the broad parameters for policy diffusion as a concept. As such, the paper contributes on a theoretical level to the study of policy diffusion and has application for researchers studying nonprofit advocacy. It also provides practical knowledge on policy and program development for nonprofit advocates generally, and specifically for providers of early childhood programs and their sponsors.

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Paper Number: PA031389

Paper Title: The Real World Classroom: Utilizing Professional Resources for Instructing Students

Author(s):

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Summary of Research

Course evaluations reveal that students enjoy professors who can bring “real-world” information to the classroom. The DIRECTIONS Nonprofit Resource Assessment Model is used by nonprofit professionals. The success of this program caused faculty to consider using it to teach undergraduate students. DIRECTIONS is being used in two ways: one requires students to work with an agency to conduct an assessment, the other is being taught from a more theoretical perspective. This study allows researchers to assess whether using professional materials is an effective means of teaching “real-world” concepts.

Description

Issue/Problem Statement

Educators are faced with the challenge of providing creative and relevant methods of instructing students in undergraduate programs. Course evaluations reveal that students enjoy professors who can bring “real-world” experience and information to the classroom. The difficulty is how to incorporate “real-world” information without ignoring the theory and content issues that are required by university curricula.

One method currently in use at a university in the southeast United States is the incorporation of an assessment program developed for use by nonprofit agencies as one of the textbooks in upper-level management classes. The concern is whether or not the use of this “real-world” material is an effective means of teaching undergraduate students how to conduct organizational assessments. Additionally, is using it merely as a textbook as effective as having students actually work with agencies to conduct assessments?

Background

The DIRECTIONS Nonprofit Resource Assessment Model was developed by the Nonprofit Education Initiative in conjunction with the Institute at Biltmore to provide tools to help nonprofits better provide services to their constituents. The curriculum “is based on three principles: 1) A nonprofit organization should be mission-based and constituency driven; 2) the organization should have broad support from both individuals and institutions; and 3) within an organization, shared strategies lead to integrated functions (DIRECTIONS, 2000, p. iv)”. The objective of the program is to help nonprofits get an overall view of their programs, services and operations, set long-term goals, and prepare to conduct strategic planning. The curriculum materials were developed and then refined in 1999 and 2000 through a pilot process with 155 participants representing 66 different nonprofit agencies. On post-tests administered during the pilot process, participants reported perceived improvement in knowledge gained as 79%. Since completion of the pilot process, DIRECTIONS has been used in training over 150 participants representing more than 60 agencies. Participants continue to report benefits to their agencies including more mission-focused programs and services, the completion or desire to complete strategic plans and the coming together of board members and staff.

□ Given the success of DIRECTIONS with professionals, faculty began to consider using the assessment tool as a means of teaching undergraduate students how to conduct agency assessments. There was debate as to how involved to get with the assessment process. Should students actually be required to conduct assessments or would simply learning the process be as effective?

Methods

Initially, students in a senior level Financial Administration class were put into small work groups based

on interest and assigned to work with local agencies and actually conduct an organizational assessment using portions of DIRECTIONS. Although it required quite a bit of out of class work, students reported perceived improvement in knowledge gained as 79%, the same as the professionals in the pilot process. Additionally, many of them reported their intention to use the skills learned when they graduate and enter the job market.

Currently DIRECTIONS is being used in two undergraduate classes. One class (a senior level Financial Administration class) is being conducted in a similar manner to the class previously discussed. The other class (a junior level Nonprofit Leadership class) is using DIRECTIONS as a textbook and is being taught from a more theoretical perspective, but is not involved with actually conducting assessments. Student pairs are assigned to give presentations on the various components of the assessment tool. By the end of the semester all students will have had to learn one section in-depth and will have heard presentations on each of the other sections. Both classes are currently in process, therefore no results are available at this point in time.

Implications

□ Information from this study will be helpful in two specific ways. First, by evaluating student response to the process as well as quantitatively measuring knowledge gained, we can assess whether using professional materials in a classroom is an effective means of incorporating “real-world” into the classroom. Second, by examining the differences between the two groups of students, faculty members will have a better understanding of the best methods for incorporating professional materials into the classroom.

□

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Paper Number: PA031391

Paper Title: Sleeping with the Enemy? The Implications of Public Partnerships on Traditional Vs. Women's and Ethnic Minority Organizations

Author(s):

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Summary of Research

Although there is an increasing reliance on public partnerships with human service organizations (HSO's), research exploring the impact of these partnerships on HSO's has yielded mixed results. This study explores those results by examining whether organizations that have had adversarial roles with the government are impacted differently than traditional HSOs. Using data from the Los Angeles Survey of Nonprofit Human Service Organizations, the most comprehensive study of HSO's in California, I will explore the effects of government partnership on the structure, professionalization and political advocacy of both traditional and women's and ethnic-minority organizations.

Description

□ Many of the great strides in civil rights, social policy and service provision that have been made over the past forty years can be attributed to women's and ethnic-minority organizations. These particular nonprofits are uniquely situated as 'outsider' organizations, and as such offer opportunities to better understand the implications of public partnerships with human service organizations (Minkoff, 1995.) Their historically adversarial relationships with government entities suggests that contracting or otherwise partnering with the government might have different consequences than public partnerships with more traditional human service organizations. Using data from the largest and most comprehensive study of human service organizations in California, (Hasenfeld, Mosley, Katz, & Anheier, 2002) I intend to explore the effects of government partnership on the structure, professionalization and political advocacy of both traditional and women's and ethnic-minority (alternative) organizations.

□ Today's continuing trend of devolution and privatization of social services has led to increasing numbers of partnerships between the government and human service organizations. Although these partnerships have existed in some form for centuries, the scope, depth and complexity of the relationships between government and nonprofits have been steadily increasing since the 1950's. In fact, government support of nonprofits now accounts for a larger percentage of their overall revenues than does private giving (Salamon, 1995.) Organizational theorists have identified three main issues as potential areas of concern in regards to these partnerships: the displacement of an agency's mission, a decrease in political advocacy, and increased bureaucratization and professionalization (Smith and Lipsky, 1993; Salamon, 1995.)

□ Despite these theoretical concerns, few empirical studies have found support for these possible negative consequences, yet results are somewhat mixed. Kramer's (1980) study of organizations serving the physically handicapped found that the government's accountability requirements did not impact the autonomy of these organizations. However, in Reinelt's (1994) study of battered women's organizations in Texas, the receipt of state funding did sometimes negatively affect the ideology and practices of the organizations. The differences between the findings of these studies might be explained by looking more carefully at the impact of government funding of different types of organizations. In particular, women's and ethnic-minority organizations (such as those studied by Reinelt) have a long history of working from the outside of the government to create social change. In fact, many of these organizations have an adversarial role with government, attributing the causes of their social problems to be the government and its policies and practices. Many of these organizations have developed alternative structures in an attempt to avoid creating the hierarchical, bureaucratic institutions that they also identify as causes of their oppressive social situations. They have opposed the government and won important battles for the civil rights of women and ethnic-minorities. Their strategies positioned them as outsiders, with the local, state and federal governments often being viewed as the primary opponent. This stance is substantially different than that of organizations serving other populations and working towards other types of causes, such as the organizations studied by

Kramer (1980.)

□The Los Angeles Survey of Nonprofit Human Service Organizations (LASNHSO) (Hasenfeld, Mosley, Katz, and Anheier, 2002) presents a unique opportunity to study the impact of government funding on nonprofit human service organizations in Los Angeles, and to specifically examine whether women's and ethnic-minority organizations are affected differently by the receipt of government funds. These data were collected from executive directors who answered questions via telephone on a variety of issues related to their organizations, including the nature, range and scope of their activities and services, the amount and types of advocacy they engaged in, their sources of funding, the professionalization of their staffs, and the structure of their organizations. The LASHSO collected data from over 700 nonprofit human service organizations which were stratified by geographic location and revenue class. It is the largest, most comprehensive survey of human service organizations to have been done in Southern California, and provides data that may clarify the conflicting literature about the relationship between the government and nonprofit, human service organizations.

□Using these rich data, I will explore the impact that the receipt of government funding has on the (1) structure, (2) professionalization, and (3) political advocacy of human service organizations. Specifically, I intend to explore whether these alternative organizations are impacted by government funding differently than more traditional human service organizations. Are women's and ethnic-minority organizations that receive government funding able to maintain looser structures, to continue to advocate for their clients, and to utilize a less professionalized staff? Does contracting with the government affect their ability to be effective agents of social change?

Women's and ethnic-minority organizations have been the impetus for great change in this country, therefore it is essential that as there is increasing reliance on government funding, the consequences be fully explored. In addition, as the impact of public partnerships will be explored within these different types of organizations, this research may shed light on the processes by which such relationships affect organizations. This is especially important as human service organizations are entering a time of limited availability of funds, and a potential increase of people in need of services. The consequences of partnerships with the government need to be fully explored in order for leaders of organizations to make informed decisions regarding funding opportunities for their nonprofits.

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Paper Number: PA031392

Paper Title: Is Third Place Okay?

Author(s):

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Summary of Research

There are over 14,000 nonprofit organizations in Colorado, yet in a recent survey of Colorado's high school journalists, youth were largely unable to size the sector. Is youth the reason that young journalists are unable to define an important sector of society? Or is it that the popular media has limited interest in and understanding of the Third Sector?

An occurrence analysis of popular press largely leaves the nonprofit world defined by holiday heart warming stories. Why is the Sector that is so valuable to civil society largely misunderstood?

Description

The paper identifies samples of how the sector is represented in the popular printed press. Examples of sector representation are drawn from magazines and electronic sources with the largest distribution/circulation.

As value concepts are presented (fashion, business, family, et al), the presentation features how the Third Sector is portrayed in the popular press. Societal values for the use of time, finances, discretionary resources and rewards is discussed.

Additionally, business sections of major daily newspapers are reviewed for content regarding the Third Sector. The paper discusses how the sector is presented and identified.

Limited international analysis was also conducted and the paper makes reference to the relative interest and understanding of the NGO sector.

Please note: This is a sustained effort. The author has been working with high school journalists in Colorado for over 20 years and hosts an annual gathering of 300-500 youth journalists. In addition, he is a staff member for a Colorado/self-sufficiency, community development focused foundation, and an adjunct faculty at Regis University where he specializes in international, governance, capacity and leadership issues. He also volunteers broadly.

Paper Number: PA031395

Paper Title: The Top Ten Challenges Facing Rural America

Author(s):

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Summary of Research

The face of the nation is changing, as so is rural America. The fluidity of economies, demographics and political capital have all had an impact upon rural communities. An analysis of rural resources yielded the 10 ten challenges. What are they and what is in store for rural America?

Description

100 years ago approximately 25% of the United States population resided in urban locations (suburbia was yet to be invented). Today, the percentages are reversed, with only 25% of people living in rural America.

As the economy of the U.S. and the world has changed, longstanding and traditional economies of rural America have been challenged. The advent of the service sector and the expansion of tourism has resulted in major changes in rural life. Food and fiber production is not the primary economy.

As the nonprofit sector attempts to be viable in rural locations and rural communities respond to change, what are the challenges that rural leaders anticipate. This paper/presentation surveyed rural experts, rural resource centers, and rural people. The results of the rural survey were tabulated and augmented with commentary from interviews.

The top ten list is a composite of observations by rural and about rural.

Note: Jeff Pryor and the Anschutz Family Foundation are very involved in the coordination and staging of Rural Philanthropy Days - an attempt to have largely urban based grantmakers be introduced to rural communities/challenges. Twice per year, six rural counties are featured and a group of approximately 40 grantmakers are hosted by the resident nonprofit sector. These have been held in numerous Colorado locations, resulting in increased grantmaking in all rural regions. Additionally, Wyoming and Georgia have started similar outreach efforts. Students from Regis University conducted a masters project to determine the attributes of Rural Philanthropy Days and some of their findings are also included in the paper/presentation.

Paper Number: PA031397

Paper Title: Emerging Issues for Human Services Nonprofits

Author(s):

Mr. Richard C. Baron, OMG Center for Collaborative Learning, Philadelphia, PA, USA

Summary of Research

The OMG Center for Collaborative Learning interviewed 36 key informants across the country -nonprofit providers, researchers, foundation and government funders, advocates, and service consumers - to develop an overview of the most important challenges facing nonprofit human services agencies in the immediate years ahead. Many respondents identified the financial crises facing human services agencies as the most threatening issue, but a wide range of other programmatic and organizational challenges will test the ability of provider agencies to survive.

Description

Emerging Issues for Human Service Nonprofits
Presentation Proposal
ARNOVA

Introduction.

The OMG Center for Collaborative Learning (OMG) is a nonprofit research, training, and public policy group with nearly thirty years of experience in assisting community development, human service, arts education, and health care organizations to enhance their capacity to meet the needs of disadvantaged individuals in community settings. Based in Philadelphia, OMG also serves as an 'intermediary organization' assisting a local foundation in managing its grant making program to health and human services agencies within the five-county metropolitan region. OMG's work includes responsibility for assisting grantees – both small agencies working in well-defined communities and larger agencies drawing clients from throughout the region – in becoming enduring social institutions in their communities.

The Problem.

As part of its intermediary work, OMG has undertaken an environmental scan designed to identify the most critical issues likely to impact on the capacity of the nonprofit human service provider agencies supported by the foundation. The focus of the environmental scan was on those issues 'just over the horizon' that community provider agencies would be well advised to begin to consider in their ongoing planning. While a research focus on emerging issues is necessarily a moving target from year to year, nonprofit human services agencies face an unusually demanding environment at present, and it was hoped that the environmental scan would prove useful in shaping the future-oriented thinking of agency directors: what kinds of issues should they be bringing to their Boards? how can they best utilize scarce capacity building dollars in preparing their agencies for the future? which programmatic directions do their agencies need to explore if they are to remain relevant to the shifting demographic and economic trends in their target communities? Because human service agencies frequently exhaust their energies in the effort to meet pressing client needs, the environmental scan was designed to provide them with an opportunity to begin to focus on broader issues they are likely to face in the immediate future.

Approach.

The environmental scan consisted of extensive interviews with three dozen experts in the nonprofit

human services field, including: researchers – in academic and organizational settings – who focus on philanthropy, human services, and/or nonprofit agencies; leaders in national professional organizations or associations of provider agencies; representatives of consumer and advocacy groups; government officials in the human services fields; and key program staff in some of the nation's major foundations.

Individuals were contacted by a letter outlining the project and soliciting their cooperation: participants were then contacted by telephone to establish dates for telephone interviews or in-person meetings. Nearly 90% of those identified agreed to participate in the project, and most of the interviewees spent far more than the 45-minute projected time commitment in outlining their views. A secondary focus of the environmental scan was to seek participants' recommendations of individuals in the field who they believed could be helpful to the foundation's grantees by providing training, consultations, or research results on the emerging issues they had identified: it was troubling that although the list of emerging issues was substantial, the number of individuals who could be helpful in addressing them was quite limited.

Among those interviewed for the environmental scan were: Dwight Burlingame, from the Center on Philanthropy at Indiana University; Dr. Elizabeth Clark, Director of the National Association of Social Workers; Gordon Groom, Vice President at Independent Sector; Judy Heumann, Director of Disability Programs at The World Bank; Jim Knickman, from the Robert Wood Johnson Foundation; Milton Little, Director of the National Urban League, Kate Mehr, from the National United Way; Lester Salamon, Director of the Center for Civil Society Studies at Johns Hopkins University; Thera Varney, Director of Public Policy at the American Association of Retired Persons; and Gary Walker, President of Public/Private Ventures.

Preliminary Findings.

OMG is currently reviewing the data gathered during the environmental scan and preparing a report for the foundation; however, preliminary analysis indicates that there are ten 'clusters' of issues that were mentioned by three or more of those interviewed:

- . the unprecedented financial pressures on human services nonprofits today;
- . the need for strategic restructuring of the human services nonprofit field;
- . the digital divide between major agencies and newer, smaller organizations;
- . the competencies of the nonprofit workforce, at leadership, middle-management, and direct service levels;
- . the struggle to find resources and experience in identifying and measuring human services outcomes;
- . the tension between reporting disappointing outcomes and securing continuing funding; . the need for human service agencies to re-examine their mission in the face of changing community economic and demographic realities;
- . the impact of for-profit service providers on the functioning and competitiveness of nonprofits;
- . the weakness of Boards throughout the human services nonprofit field; and
- . the role of faith-based organizations in the human services realm.

It was clear from the interviews that while most respondents believed that nonprofit human services agencies were vital aspects of the social contract, they also believed that many agencies in the field faced quite significant challenges to both their relevance and their future existence. Helping agencies to focus on these concerns can better prepare them for the future.

Next Steps.

Over the next few months, OMG will prepare a preliminary report for the foundation that synthesizes the findings from the environmental scan. The key issues identified will then become the basis for ongoing organizational development work with grantees, in lectures, individual consultations, and

training programs.