

Paper Number: PN042052

Paper Title: Advancing Nonprofit Informatics: Research on Technology in Nonprofit Management Education

Author(s):

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Description

Advancing Nonprofit Informatics: Research on Technology in Nonprofit Management Education

If technology adoption, as many charge (Princeton Survey Associates, 2001; Burt & Taylor, 2000), is lagging behind in the nonprofit sector, then one obvious place to address this issue is within nonprofit education programs (McNutt & Boland, 2002). This means that educators involved in nonprofit management programs have a special responsibility not only to teach about technology but also to use instructional technology in their work.

This panel will address a number of educational technology issues that provide instructors with new insights and new skills. Three interrelated papers are intended to provoke and motivate.

Enhancing Graduate Students Performance as Threaded Discussion Leaders in a Web-Based Proposal Writing Course provides both an examination of threaded discussion and research results about the effectiveness of the technique.

Hybrid CD-ROM/Internet Teaching Tool for the Prevention of HIV in Women presents a discussion of the development of an innovative instructional module for prevention education in the community. The presentation illustrates the instructional design process and provides examples of proper practice.

Civic Skills and Participation in Online Political Environments: Conceptual, Empirical and Educational Issues. This final paper looks at an important bridge issue between political use of nonprofit technology and nonprofit education—the development of on-line civic skills. The paper discusses how a civic skills apply in cyberspace and how they might be taught.

The panel includes a number of new voices to the ARNOVA family as well as some familiar faces. It should be a stimulating a provocative experience for nonprofit educators, managers and scholars of any stripe.

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Paper Number: PN042052.1

Paper Title: Enhancing Graduate Students Performance as Threaded Discussion Leaders in a Web-Based Proposal Writing Course

Author(s):

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Summary of Research

Enhancing Graduate Students Performance as Threaded Discussion Leaders in a Web-Based Proposal Writing Course provides both an examination of threaded discussion and research results about the effectiveness of the technique.

Description

Enhancing Graduate Students Performance as Threaded Discussion Leaders in a Web-Based Proposal Writing Course

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The purpose of this research was to observe the use and effectiveness of mentoring strategies, developed as a tools for improving threaded discussion in a proposal writing course. Participants were students enrolled in Grant Writing in Instructional Technology, offered at the University of Arkansas in the College of Education and Health Professions over a four-year period. Students were mainly graduate students from the College however; students from across the campus and the community participated.

Participants were provided with a handout describing mentoring strategies they could use as discussion facilitators. They choose weeks that were most convenient for them to server the function of discussion leader. Discussions were started with a case study provided by the professor. Students then led a discussion of the content and tried to reach a consensus of how to address the key issues of the case. Discussion topics ranged from criticism of a letter of intent to role-playing foundation board member that were developing criteria for how to decide which proposals to fund.

□

All participants were interviewed during the three weeks after they were discussion leader. The interviews focused on: 1) Their experience as discussion facilitator, 2) the usefulness of the mentoring taxonomy in helping them lead the discussion and apply the content of the course to the nonprofit organizations they were writing proposals for, and 3) their experience as discussion participant. Students were given an opportunity to read transcripts of the interviews and make changes. Online discussions were captured and analyzed for value and effectiveness in facilitating discussion and learning about proposal writing for nonprofit organizations.

□Results indicate that the more closely the students followed the mentoring strategies the more successful those discussion were in reaching consensus and leading to students satisfaction with their experience

Paper Number: PN042052.2

Paper Title: Hybrid CD-ROM/Internet Teaching Tool for the Prevention of HIV in Women

Author(s):

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Summary of Research

Hybrid CD-ROM/Internet Teaching Tool for the Prevention of HIV in Women presents a discussion of the development of an innovative instructional module for prevention education in the community. The presentation illustrates the instructional design process and provides examples of proper practice.

Description

Hybrid CD-ROM/Internet Teaching Tool for the Prevention of HIV in Women

Recent research has shown conclusively that, while the spread of HIV has slowed among some high-risk populations, it has increased among heterosexual women, particularly among the inner-city poor. This population is also the least served by prevention and intervention programs. The purpose of this project is to close the gap that is opening between those who need preventive guidance, and the ability of over-taxed educators to provide it. This project uses interactive multimedia technology and sound instructional design methodologies to accomplish this goal.

The objective of this project was to design, develop, deploy, and evaluate a culturally competent CD-ROM/ Internet application targeted at high-risk, under-served women aged 14-19. Members of the target population were directly involved in the design, scripting, and performances in the CD-ROM. The CD-ROM was deployed for evaluation at local (Central New York) community center. Utilizing video, audio, animation, text, and graphics, and using both instructivist and constructivist teaching models, the CD-ROM dispels popular myths, provides tips for risk reduction, and engages the user in a role-playing game during which the user learns strategies for avoiding high-risk situations.

During client sessions with the CD-ROM, staff gathered data about the user's evident knowledge, choices, and behaviors, and created a user profile. This data was combined with pre and post-use surveys, and post-use interviews to determine if the CD-ROM was well received by the target user, and to determine what interactive and multi-modal techniques worked most effectively.

Paper Number: PN042052.3

Paper Title: Civic Skills and Participation in Online Political Environments: Conceptual, Empirical and Educational Issues.

Author(s):

John McNutt, University of South Carolina, Columbia, SC, USA

Maryah Fram, University of South Carolina, COSW, Columbia, SC, USA

Summary of Research

Civic Skills and Participation in Online Political Environments: Conceptual, Empirical and Educational Issues. This final paper looks at an important bridge issue between political use of nonprofit technology and nonprofit education—the development of on-line civic skills. The paper discusses how civic skills apply in cyberspace and how they might be taught.

Description

Civic Skills and Participation in Online Political Environments: Conceptual, Empirical and Educational Issues.

The emergence of cyberspace as a viable deliberative forum opens up a plethora of opportunities for successful participation in both civil society and the political realm (Hill & Hughes, 1998; Davis, 1999). The rise of electronic government, the incorporation of cyberspace into the advocacy practice of interest groups and social movements, and the growth of a robust literature on virtual communities all argue for more scholarly attention to on-line political participation (Fountain, 2001; Norris, 2001a; 2001b).

While there is a growing literature on political participation in cyberspace, an in-depth scholarly discussion of essential civic skills is still needed. There is practice literature on these skills, but current treatments cry out for more rigorous analysis and a more explicit connection to the corpus of nonprofit and voluntary action studies.

To begin to address this gap, we identify a core set of on-line civic skills and place them in the context of contemporary theory about civic society, social capital and the commons. We use Verba, Schlotzman and Brady's (1995) influential conception of civic skills within their community volunteerism model (Verba, Schlotzman & Brady, 1995; Cramer, 2002), extending a familiar framework to include on-line civic skills. This allows us both to clarify the significance and functionality of these skills, and to assess the relationships between on-line and more traditional off line civic skills.

Next, this paper explores the implications of emerging civic skills for the continued development of theoretical frameworks, as well as for research, and the design of curriculum. Thus, by considering how a critical concept in voluntary action relates to emerging cyber societies, this paper adds to nonprofit scholarship, and provides a beginning appreciation of the potential for a virtual civil society.

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Paper Number: PA041196

Paper Title: Building Community Support: A Case Study of a Large Nonprofit Fundraising Event

Author(s):

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Summary of Research

This paper explores how an urban social service agency in a Midwestern city uses a large fund-raising event, not only to increase the organization's economic capital, but as a strategy for redefining the organization's identity and bolstering its claim to a legitimate place in the community. Based on ethnographic data, this paper examines how assumptions about what makes a nonprofit organization worthy of support by individual and corporate donors, and its ethical responsibility regarding disclosure of information, come to be either accepted or resisted by the actors involved in producing the event.

Description

Although individual and corporate donations to nonprofits have been declining as a percent of total revenue in recent years, individual and corporate donors continue to play a role, not only financially, but also in legitimizing the place of the agency in the community (Grojberg 1993). In the case of this financially struggling urban social service agency, an annual fund-raising luncheon provides the organization an opportunity to communicate, uninterrupted, with an audience composed of individuals and corporate representatives who, by attending the event, demonstrate a willingness to make a much-needed financial contribution to the agency.

Based on ethnographic research, interviews and participant observation, this paper examines the process of producing a large funding-raising event. It examines how actors in the process interpret the organization strategically to create a consumption experience for the donors (Baudrillard 1981; Guy and Patton 1988). It describes how assumptions about what makes a nonprofit organization worthy of support by individual and corporate donors come to be either accepted or resisted by actors involved in producing the event: the board of directors, staff, paid consultants, volunteers, the agency's clients, and the donors themselves. The agency's adverse financial situation brings a number of ethical issues regarding information disclosure, that might otherwise be unexamined, to a prominent place in the pre-event planning.

Based on the models of human behavior as rational and calculative (Simon 1997), and models proposing that individual charitable giving behavior is the result of cognitive processes involving considerable information processing (Sergeant 1999), it might be expected that many alternatives would be considered and debated in the process of constructing the event. Rather, the options available for the event appear to the actors to be quite circumscribed, and the most spirited debates are confined to nuances and subtleties. Examining how the organizational actors employ social relationships, language, images, symbolic representations, shared cultural assumptions, and historical references in their efforts, illuminates how choices are limited to the "space of the possibles" (Bourdieu 1983) defined to a large extent by perceived public expectations of nonprofits and drawn from experiences in which the fundraisers were themselves the donors.

Frumkin points out in his recent book that although public awareness of the nonprofit sector is increasing and our society is becoming increasingly dependent on nonprofits to provide essential services, "surprisingly little is known about the underlying purposes and values that animate nonprofit and voluntary action" (Frumkin 2002:8). This study is important because through observation and theoretical analysis of actual practice, an attempt is made to develop an understanding of the complex process of soliciting individual and corporate contributions.

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Paper Number: PA041232

Paper Title: A Methodology for Evaluating Comparable Effectiveness of Fund Raising Programs

Author(s):

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Summary of Research

"A Methodology for Evaluating Comparable Effectiveness of Fund Raising Programs" presents a structured method for a nonprofit organization to assess its fund development effort in comparison with nonprofit organizations of similar type and size. This structure was developed by organizing the existing research on fund raising evaluation into a prioritized framework. The framework is supplemented by information from similar organizations using publicly available information and individual questionnaires. This provides a method for an organization to compare its fund raising program to other similar organizations. The methodology is demonstrated through evaluating a specific hospital foundation's fund raising program.

Description

Evaluating how well an organization's fund raising program is functioning is a matter of concern for nonprofit boards, administrations, fund raising staff, and regulatory agencies. Problems in conducting such evaluations arise in trying to determine the most applicable information to evaluate against the most appropriate independent and subjective standards, while taking into account differing communities, organizations, and fund raising goals. The debate over whether efficiency (percentage of cost to income) or effectiveness (net contributions) is the most relevant factor to measure further complicates this analysis.

"A Methodology for Evaluating Comparable Effectiveness of Fund Raising Programs" presents an original approach and structure for evaluating an organization's fund raising program. This approach helps ensure that an organization is being compared to other organizations in similar environmental and operational situations. It prioritizes the data to use in determining comparability, as well as the measurements using this data, that will yield the most appropriate information for conducting realistic and relevant evaluations of an individual organization's fund raising program. While emphasizing the value of evaluating fund raising effectiveness, the approach also allows for evaluating efficiency, if this criteria is desired. The paper is a condensation of the thesis "Evaluating the Effectiveness of Hospital Fund Raising Programs" developed by the author as part of the requirements for the degree of Masters in Philanthropic Studies from Indiana University awarded in 2003.

The paper first outlines the difficulties and potential solutions faced by nonprofit organizations trying to evaluate their fund raising programs, and highlights the difference between evaluating efficiency and effectiveness. It then presents the Four-Level Evaluation Process, a structured approach that systematically identifies the needed data and best methodologies for an organization to evaluate its fund raising effectiveness. This process was developed by examining the existing research on evaluating nonprofit fund raising programs and prioritizing the guidelines presented by the various studies. The paper then demonstrates the practical use of this process through a detailed case study evaluating the fund raising efforts of the Bloomington (Indiana) Hospital Foundation. The case study focuses on externally evaluating the Bloomington program with 21 comparable hospital foundations, but also includes an internal analysis of the progress of the Bloomington Hospital Foundation's fund raising program. The paper concludes by summarizing the key findings regarding fund raising evaluation uncovered by the overall thesis as well as the specific evaluation guidelines and comparisons emerging from the case study research.

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hundred sources, is available upon request.)

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Paper Number: PA041346

Paper Title: Persuasion in Fundraising Letters: An Interdisciplinary Study

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Summary of Research

We examine the response of subjects to specific rhetorical, linguistic, and visual elements used in fundraising letters. We employ a scenario analysis in which subjects read paired fictitious fundraising letters and allocate donations to the respective causes. We vary the combination of treatments according to a 3 x 2 x 2 factorial design. Treatments vary in the rhetorical dimension by their appeal to pathos, ethos, or logos; in the linguistic dimension by high or low readability; and in the visual dimension by use of a list format. Our results help establish a scientific basis for the received wisdom of practitioners.

Description

This paper describes the research and findings from a Center on Philanthropy grant study performed at Indiana University Purdue University Indianapolis, examining how subjects respond to specific rhetorical, linguistic, and visual elements utilized in fundraising letters. As direct mail fundraising letters remain one of the primary means for soliciting monies by philanthropic organizations (Vertis, 2003), understanding which elements of these letters are persuasive is important.

The study begins with the Indiana Center for Intercultural Communication (ICIC) Fundraising Corpus, a two million word, computerized databank of the most important fundraising genres: direct mail letters, case statements, grant proposals, and annual reports. Analysis to date of the fundraising texts included in this corpus has focused primarily on describing rhetorical and linguistic features of those texts (Connor and Upton, 2003; Upton, 2003; Gladkov, 2003). While this research has provided a theory-based, descriptive model of direct mail fundraising letters, questions about the relative effectiveness of various rhetorical, linguistic, and visual strategies remain unanswered.

We identify themes of conventional wisdom based on descriptive research on persuasive strategies in fundraising letters, general theories of visual design (Tufte, 2001; Hill and Hemmers, 2003), and a content analysis of current texts that offer advice about how to write direct mail fundraising letters (Warwick, 2001, for example). We code the letters in the fundraising corpus and analyze the results to determine if the conventional wisdom themes are evident in actual letters. Finally, we include the "advice" themes exhibiting the greatest disparity within the fundraising corpus as a variable in the scenario analysis phase of the research.

Scenario analysis (also known as situation analysis or the factorial survey method) is an experimental design in which subjects are presented with alternatives and then asked to make some decision (Saleha, Khumawala and Gordon, 1997; Hadfield, 2003). We present subjects with fundraising materials representing different kinds of direct-mail "asks." In each round, the subject is presented with two different letters, then asked to distribute a hypothetical sum of \$100 across the two. Each pair of letters represents a different comparison of treatment effects. More precisely, we employ a 3 (rhetoric) x 2 (linguistic) x 2 (visual) factorial design. The rhetoric dimension offers alternatives that emphasize logos, pathos, and ethos respectively. The linguistic dimension offers alternatives based on readability (using the Flesch Reading Ease Scale and the Flesch-Kincaid Grade Level Scale), and the visual dimension offers alternatives using bulleted lists.

Subjects are drawn from two sampling frames (given 1-2 times in the last five years and given 4-5 times in the last five years) that we constructed in collaboration with the IU Foundation. A database run pulls potential subjects in the following manner: as an IUPUI graduate in the last 10 years with an undergraduate degree only and who lives in the eight counties of the Indianapolis metro area. We also have subjects separated by gender and by major. The sampling frames thus embody the types of subjects that educational institutions would most like to study.

Each subject participates in four rounds of decision making. In any round, the subject is asked to read two distinct model fundraising letters, assigned at random from the 66 distinct pairs of letters that we constructed. They are then asked to divide a hypothetical sum of \$100 between the two charities identified in their pair of letters for that round. No subject is given the same pair of letters in any pair of rounds

Our findings will describe:

- a) whether one rhetorical strategy produces, on average, higher donations;
- b) whether the rhetorical strategy that produces the highest donations for one combination of linguistic and visual strategies is the same as the rhetorical strategy that produces the highest donations for each other combination of linguistic and visual strategies;
- c) whether the readability features recommended in the literature produce higher donations than the alternative strategy frequently observed in the stage-one analysis of the corpus;
- d) whether the difference between the efficacy of the two readability scales depends upon the choice of rhetorical and visual strategies;
- e) whether the use of bulleted lists recommended in the literature produces higher donations than the alternative strategy frequently observed in the stage-one analysis of the corpus; and
- f) whether the difference between the efficacy of the use of bulleted lists recommended and the alternative depends upon the choice of rhetorical and linguistic strategies.

Paper Number: PA041402

Paper Title: Development and Implications of Taxonomy for Fundraising Letters

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Summary of Research

In this paper we discuss content analytical methods used to identify and classify current conventional wisdom concerning the drafting of successful direct-mail appeals. Drawing on prominent texts of advice identified through saturation sampling, we compile a body of conventional wisdom. After performing a content analysis, we develop a theory-grounded taxonomy of advice categories. We then use the emergent taxonomy to analyze a corpus of actual direct-mail fundraising letters. This analysis reveals the degree of adherence to conventional wisdom. Additionally, the taxonomy provides a framework for future studies about whether fundraisers should follow this conventional wisdom.

Description

In this paper we discuss the content analytical methods used to identify and classify current conventional wisdom about writing successful direct-mail appeals. We first identify prominent texts of advice and then compile a body of conventional wisdom using saturation sampling. After performing a content analysis on these texts, we develop a theory-grounded taxonomy of advice categories. Next, we use the emergent taxonomy to analyze a corpus of actual direct-mail fundraising letters. This analysis is useful because it reveals whether letter writers adhere to conventional wisdom. Additionally, the taxonomy provides a framework for future studies about whether fundraisers should follow this conventional wisdom.

In any given year, organizations send out numerous appeals for funding. Those who draft the appeals employ a number of strategies that incorporate different linguistic and visual elements. In varying combinations of these elements, the direct-mail letters enjoy varying levels of success. A number of skilled copywriters compile their career-long wisdom into books that instruct the reader how to draft successful fundraising letters. This paper emerges out of a larger study that examines use of specific rhetorical, linguistic, and visual elements in fundraising letters and their effects on respondents (Naghelout, Connor, Goering, and Steinberg, 2004). The manipulated variables in that study emerge from the taxonomy of advice about drafting fundraising letters that we discuss in this paper.

We begin this study with a look at the Amazon.com top-selling fundraising text entitled *How to Write Successful Fundraising Letters* (Warwick, 2001). Since this text is influential in modern direct-mail fundraising, we identify and categorize Warwick's advice. Additionally, we determine whether authors of other fundraising texts give similar or conflicting advice to Warwick's. We consulted with IUPUI's Fundraising Schools in order to identify other popular sources of advice for direct-mail appeals. We use saturation sampling, a technique where the size of the sample is increased to the point that additional data no longer yields new information (Glaser & Strauss, 1967). Once our sample size is sufficient, we code the texts for advice.

The pieces of advice that emerge from the sample of fundraising texts serve as our unit of analysis. 'Pieces of advice' are operationalized as any explicit suggestions made by the author regarding what to include in or omit from direct-mail letters. Two coders identified 20% of the text with 83% agreement. We then perform a content analysis on all of the sample texts. Since communication is the essence of direct-mail letters, a communication model representing Information Theory (Shannon and Weaver, 1949) is used as the framework for categorizing the advice.

We operationalize the six categories of the communication model as follows:

1. □ Source-Advice about who signs the letter.
2. □ Content-Advice about the type of appeal to use.
3. □ Channel: Advice about the physical/visual layout of the appeal.
4. □ Feedback: Advice about feedback opportunities.
5. □ Recipient: Advice about whom to target.
6. □ Context: Advice about the timing of the mailing.

Next, we use these six categories to code the Indiana Center for Intercultural Communication (ICIC) Fundraising Corpus. The corpus is a computerized databank which contains, among other fundraising genres, hundreds of fundraising letters. This corpus has been analyzed in previous linguistic research for use of rhetorical appeals (ethos, pathos, logos). As part of this previous research, the rhetorical appeals were further classified into nineteen separate categories falling under ethos, pathos, or logos (Connor and Upton, 2003; Upton, 2003; Gladkov, 2003). These appeals categories are incorporated into the communication model under the content category. Additionally, a number of categories of visual elements that emerged in prior research are also incorporated into the communication model under the channel category (Tufte, 2001; Hill and Hemmers, 2003). After coding the corpus, we compare whether or not the drafters of the education fundraising letters of the corpus follow the conventional wisdom.

The implications of this study are threefold:

1. The emergent taxonomy provides a theoretical framework of conventional wisdom for fundraisers. Some of the conventional wisdom is ambiguous and lacks operationalized advice, but it helpful nonetheless. For example, Warwick states that, “your appeal must ask for a specific amount, and that must be the right amount” (2001). The advice clearly states to ask for a specific amount, yet it is unclear how to determine the right amount.
2. Knowing whether fundraisers follow the conventional wisdom is important. In analyzing the corpus for specific ask amounts, we reveal that 74% contradict the conventional wisdom by not asking for a specific amount of money. Of the 26% that adhere to the advice, it is unclear whether the requested amount is the right amount. Additionally, Warwick and others suggest that all direct-mail appeals should include a postscript, yet only 36% follow the conventional wisdom.
3. Future research can emerge as a result of this taxonomy. By using this taxonomy as a starting point, we can begin to study whether the conventional wisdom is indeed good advice. In the long run, fundraisers may have equal or more success when they do not adhere to the conventional wisdom.

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Paper Number: PA041001

Paper Title: Voluntary Organizations' Perceptions of Accountability to Donors

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Summary of Research

Given recent high profile scandals and the importance to the voluntary sector of private funding sources, this paper presents the findings of an empirical research project that considers how voluntary organizations providing social services perceive their accountability relationship to donors. It explores the implications of the findings for the future of philanthropy in serving an increasingly heterogeneous society with complex social problems.

Description

Research on philanthropy has tended to focus on why individuals, foundations or businesses give, and to whom. For example, Sargeant and Lee (2002) undertook a large scale study of UK donors' perceptions, and concluded that donors give because they identify with the organization's cause. In contrast, limited attention has been given to how voluntary organizations, as the recipients of donor funds, conceptualise their relationship with donors. Leat (1996) and Ospina, Diaz et al (2002) both conclude that little is known about this.

How voluntary organizations perceive and manage their relationships with donors is, however, of importance. High profile examples of the mis-use of donor funds have fired calls for increased voluntary sector accountability in many jurisdictions (Young, Bania et al. 1996; Hoefler 2000; Ebrahim 2003), and the well documented tension between 'upward' accountability to donors at the expense of 'downward' accountability to community and clients has long term implications for the legitimacy of the voluntary sector (Hardina 1993; Kumar 1997; Brown and Moore 2001).

This paper reports the findings of empirical research that considers how voluntary organizations perceive their relationship with their donors. It is derived from the author's doctoral thesis, which examines the question of who voluntary organisations think they are accountable to, and for what. Four case studies were conducted consisting of over 40 in-depth interviews with social service voluntary organization leaders. The data was triangulated with analysis of key organization documents and extensive field observations.

The paper will outline how voluntary organizations perceive their accountability relationship with donors, and will compare this with their perceptions of other funders (with particular reference to government contracts).

The implications of the findings will be discussed in light of current policy settings in New Zealand. The current government seeks to encourage philanthropy as a way of addressing entrenched social problems and developing the multiple delivery streams needed to serve an increasingly heterogeneous population. New Zealand, characterised by a history of social-democratic ideals and a limited tradition of philanthropy, offers an interesting context in which to explore the future of philanthropy in an increasingly diverse society.

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Paper Number: PA041016

Paper Title: Structures and Strategies for Influencing Public Policy: A Canadian and International Comparison

Author(s):

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Summary of Research

This study compares and contrasts the organizational structure and strategies of three (unincorporated) Canadian nonprofit organizations attempting to influence public policy, examines their contributions to the public policy debate and analyzes whether differences in organizational form or strategies may have greater or lesser influence. It also identifies intercountry commonalities and differences drawn from complementary studies in four South-East Asian countries. Lessons learned from these studies are enhanced by an extensive review of the literature on government/voluntary sector partnerships.

Description

This study compares and contrasts the organizational structure and strategies of three (unincorporated) Canadian nonprofit organizations attempting to influence public policy, examines their contributions to the public policy debate and analyzes whether differences in organizational form or strategies may have greater or lesser influence. It also identifies intercountry commonalities and differences drawn from complementary studies in four South-East Asian countries: Malaysia, Thailand, Philippines and Indonesia. Lessons learned from these studies are enhanced by an extensive review of the literature on government/voluntary sector partnerships.

Two of the Canadian organizations, Campaign 2000 and the National Children's Alliance, were involved in public policy issues related to children. The third, the Health Charities Council of Canada, has a mandate to seek influence on Canadian health policy.

The central focus of this study examines the impact of the two primary organizations on the development of the National Child Benefit, the National Children's Agenda and the Early Childhood Development Initiatives in Canada.

The analysis is built upon the framework for development of public policy developed by John Kingdon (1995). The framework consists of participants acting and processes occurring in three distinct but interrelated streams – problem recognition, policy generation and politics. These are "largely independent of one another, and each develops according to its own dynamic and rules. But at some critical junctures the three streams are joined, and the greatest policy changes grow out of that 'coupling' of problems, policy proposals, and politics." (Kingdon 1995:19) "Each of the actors and processes can act either as an impetus or as a constraint." (p. 87)

Policies emerge from a 'policy primeval soup' through a dynamic process in which "many ideas float around, bumping into one another, encountering new ideas and forming combinations and recombinations." Some ideas are discarded and others advance to the 'decision agenda'. "The proposals that survive to the status of serious consideration meet several criteria, including their technical feasibility, their fit with dominant values and the current national mood (as gauged by elected legislators) their budgetary workability, and the political support or opposition they might experience." (pp.19-20)

Conclusions about the factors influencing the development of the public policies reviewed here are based upon the 'weight of opinion' amongst key informants, rather than consensus among them. In some cases, there were widely divergent views on critical influences, often depending on where an individual was in the hierarchy of influence and decision-making or the attachment/exposure of that person to a particular participant organization, individual or cause.

For example, Campaign 2000 was credited at one extreme of the opinion spectrum as having played a “vital role” in the cultivation of a public mood and political will conducive to the development of the NCB. An alternative view expressed by one senior bureaucrat was that ‘the NCB was achieved despite Campaign 2000 tactics’, which were viewed by that person as overly critical of the government to the point of jeopardizing achievement of the ultimate goal. Similarly, while ‘policy entrepreneur’ Battle’s role in development of the NCB was generally acknowledged as instrumental, some federal and provincial officials expressed the view that the momentum for its development had already been created by work in several provinces and the interplay between them. Some officials gave notable credit to the ‘Framework for Action’ that arose out of the 1996 conference on children as a valuable reference for development of the National Children’s Agenda, while certain others had no recollection of the earlier document.

The three children’s policy areas examined in this study: the National Child Benefit, the National Children’s Agenda and the Early Childhood Development Initiative undertaken by the federal, provincial and territorial governments over the last decade were positive initiatives resulting from the confluence of a number of propitious factors...The favourable federal fiscal climate opened a window of opportunity for implementation of policy proposals that had been under development for several years. The provincial and territorial desire to recover federal transfer payments for program expenditures lost during the previous decade. Public concern, about child poverty in particular, encouraged a positive political response. Similarly, a desire to improve federal/provincial relationships with a concrete demonstration of cooperation under the Social Union Framework Agreement broadened this window and allowed political leaders to seize upon a well-developed policy proposal as the first major initiative under this framework.

Campaign 2000 and the National Children’s Alliance, with their overlapping memberships and growing credibility, certainly had some influence in encouraging and supporting the implementation of these children’s initiatives. The annual Report Card on Child Poverty and the active advocacy of Campaign 2000 combined with the 1989 House of Commons resolution to ‘seek to eradicate child poverty by the year 2000’ were important factors in cultivating the political will to implement the National Child Benefit (NCB) and to seize the opportunity to improve federal/provincial relationships.

This study reveals many strategies that voluntary sector organizations may use to increase their influence on public policy. Some of these are implicit in the manner in which the children’s policy initiatives were developed and implemented. Others are derived from the consensus of direct advice offered by interviewees. Many of them are suggested or affirmed by Kingdon’s analysis of the manner in which public policy is developed.

- Identify the problem(s) early and express them clearly and often.
- Understand and seek to influence the public mood and the political possibilities.
- Develop a solid base of research support.
- Start with a clear objective or desired outcome and keep your eyes on the ball.
- Construct a strong ‘business’ case for investment and a strategy for measuring outcomes.
- State the case in clear, easily understood language.
- Communication is critical to keeping stakeholders on side and generating public and political support.
- Timing and context are everything. Anticipate windows of opportunity. Be ready to act, with well-developed solutions and advocacy strategies, when they open.
- Regularly review the metaphors used to promote your policies to ensure the language attaches your cause to current public and political concerns that may be used as ‘proxies’ to advance your interests. ‘Hitch your wagon to a winning horse.’ (For example, children as ‘victims’ of poverty.)
- Balance passion for a cause with pragmatism for solutions. Appreciate what is achievable within the current context but don’t lose sight of longer-term objectives. Be satisfied with ‘half a loaf’ rather than pursuing an all or nothing agenda.
- Seek champions for the cause...inside and outside government and the voluntary sector. Individual personalities and personal relationships may sometimes work when all else fails.
- Offer praise generously and criticism in constructive, but measured, doses.

- ▷□ Seek allies and build alliances. Broaden these to include non-traditional partners (business and labour) wherever possible. This becomes even more powerful when it is an alliance of the unlikely...those previously on opposite sides of an issue.
- ▷□ Seek consensus without abandoning individual organizational mandates.
- ▷□ Find effective ways to share leadership nationally (or locally), and divide the workload among organizations with specific areas of expertise.
- ▷□ Build trust, respect and credibility amongst key stakeholders.
- ▷□ Nurture personal contacts...build constructive relationships.
- ▷□ Understand the political and bureaucratic structure and processes, how decisions are made and the key players. Build relationships with key players.
- ▷□ The incubation period for a new policy is often very, very long. It may be easier to build incrementally on existing policy foundations than to construct the entirely new.
- ▷□ Persistence is the key to success.

These strategies are common to all five countries. However, there also distinct points of difference.
 [Note: Final drafts of South-east Asian studies will be presented in June.]

It is clear, overall, that a dynamic interplay between various actors and organizations is critical, regardless of the level of democratization of the country, to the emergence of public policy out of the metaphorical 'primeval policy soup'. It is clear also that attribution of causal links between specific actors and factors and the ultimate policies and implementation vehicles that emerge can be highly speculative.

Paper Number: PA041231

Paper Title: Government Funding and the Nonprofit Sector: Changes in the Level of Federal Government Grants During 2001-2002

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Summary of Research

Building on earlier research conducted by the authors on the flow of government funds to the nonprofit sector as documented in the Federal Audit Clearinghouse Database, the authors will expand on other nonprofit subsectors represented in the database. In addition, comparisons will be made on the level of Federal funding between 2001 and 2002 and the influence that policy and current events may have had on them.

Description

This paper expands on a paper presented at the 2003 ARNOVA meetings on government funding of the nonprofit sector. The previous study presented data on Federal grants going to nonprofits in the social services and higher education sectors during 2001. The data were based on the Federal Audit Clearinghouse maintained by the US Census Bureau, which contains information on Federal grants of \$300,000 or more going to nonprofit organizations. The present paper provides a more comprehensive picture by expanding the analysis to seven separate nonprofit sectors: hospitals, housing organizations, institutions of higher education, transit organizations, utilities, social services, and other organizations. In addition, comparisons are made showing changes in the level of Federal funding between 2001 and 2002, and assessing whether funding follows demographic patterns (i.e. population density, racial/ethnic concentrations by state, etc.). Studies show that government is a key supplier of funds to the nonprofit sector, providing approximately one third of their total revenues. Using the Federal Audit Clearinghouse database, this paper proposes to look at Federal agencies that provide support to the various sectors, with the goal of assessing how the database can be used to provide more accurate and timely information on the government flow of funds to nonprofits.

Background

Various research studies have looked into the interaction between the nonprofit sector and government over the years. According to Salamon, government involvement in the nonprofit sector takes place through three distinct mechanisms: through the direct or indirect infusion of funds through grants; through tax policies that either encourage or discourage charitable giving to the sector; through other policy initiatives (such as the Social Welfare Reform Act) that have stark implications on the nonprofit sector and the services it provides to society. Gronjberg and Salamon have identified this relationship between government and nonprofits to be occurring at "multiple arenas."

Over the years, government funding into the nonprofit sector has slowly but steadily increased (Independent Sector), making up one third of its total revenues. Government funding is particularly crucial for the social services and health subsectors, each receiving 52% and 42% respectively of their funding from government sources (Weitzman, et. al.). This high reliance on government grants by the social services subsector has been described in various studies (Smith). However, as stated by Abramson and Salamon, there exists "no comprehensive federal statistical data sources [that] track the flow of federal support to the nonprofits," making it a difficult exercise to complete.

Recently, the Census Bureau, through the Federal Audit Clearinghouse, has granted access to the

Single Audit Database that contains “Non-Federal entities that expend \$300,000 or more in a year in Federal Awards.” The database contains about 35,000 records each year. Of those entities, half are estimated to be non-profit entities and the other half includes state, local, and tribal government units. Using the query tool provided by the Census Bureau in their website, this paper will explore data content, efficacy, and limitations in helping fill data gaps and to validate current estimates and trends in government funding of the sector. Specifically, it will look into the entities in the seven sectors specified above that receive government funding and examine the flow of government funds from 2001 to 2002. Results may also be compared to trends that have been identified in earlier studies.

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Paper Number: PA041290

Paper Title: Cross-Sector Partnership For Disaster Management: An Analysis Of The Social Network Of Women Leaders

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Summary of Research

Socially constructed gender expectations often determine the roles of female and male leaders, so that women often undergo numerous barriers regardless of their actual professional competence. The study attempts to understand how women leaders of nonprofit organization deal with such complexity of the relationships, in the relatively male dominating society of India, where participation of women in public service is limited. A semi-structure interview protocol and social network analysis method will be used to interview 40 leaders from Government and nonprofit organizations. The findings will provide understanding of the interaction of gender and dynamics of cross-sector partnerships for disaster management.

Description

CROSS-SECTOR PARTNERHSIP FOR DISASTER MANAGEMENT: AN ANALYSIS OF THE SOCIAL NETWORK OF WOMEN LEADERS

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Paper Proposal

In the New Millennium women still face many challenges in the labor market. In spite of significant progress made by women, cultures have created gender-role stereotypes in most countries. In Indian society, men have traditionally played dominant role in the community. Gender differences can also be seen in the non-governmental (NGO) sector, initially known as the domain of women. Indian women have long shared a heritage of self-organization, professional achievement, and community leadership. Women's grass-root organizations played key roles in various fields such as disaster response, reproductive health issues, literacy and self-empowerment. However the nature and scale of the public service needs and challenges are impossible to address in isolations. Cross-sector partnership has been emerged as an increasing trend in the government and non-profit relationships in India and around the world.

The literature on GO-NGO partnerships during times of crisis, focused on the South Asia region is scarce. Partnerships among the key players have been viewed in the literature as very important for effective disaster management.(Bhatt, Mehta, & Khosala, 1998; Bhatt, 1999; Dynes, 1999; Fernando, 1999; Khan, 1999; R.C.Sharma, 1999; Watchtendorf, 2000).The literature shows the striking trends towards increased cross-sector relationship between NGO and governmental organizations (GOs) all over the world (Salamon and Anheier 1996; Kumar 1997). Given the importance of cross-sector partnerships and the wide spread impact they have through out the society, women as a nonprofit leaders bear a great responsibility to provide direction and strategic guidance that enables the organization to have effective partnerships. Much of the empirical research on the roles of women in the nonprofit governance focused on the composition of boards of art museum, hospitals, federated charities (Baughman 1987; Capek 1988) and foundations (Gittel 1990). There are number of studies that focus on local volunteer civic association. (e.g. Jenner 1982; Danniels 1988) and other community based associations (Windmer 1991). Bradshaw and colleagues studied women on boards of nonprofits (Bradshaw, Murray et al. 1996). Despite the topic's importance, relatively little is known about gender and NGO leadership. Most existing research consists of studies of single organization, one type of organization, or comparative questionnaire studies of single organizations in a single community (e.g.

Black and Platt 1978; Adams 1980; Egri and Herman 2000) Much of the research in cross-sector partnership and the research on role of women in non-profits have been done as a two separate fields. This study helps to fill the gap of disconnect in the literature by presenting the gender based analysis in navigating the cross-sector partnership.

This multi-method (interview and social network analysis) research will be conducted in the state of Gujarat, India. The study will be facilitated by Disaster Mitigation Institute (DMI), Ahmedabad. A semi-structured interview protocol will be used to interview a total of 40 leaders from various organizations. Data will be collected in the regional language Gujarati and then will be translated into English. Network data on social ties- personal and professional- will be collected. Snowball sampling technique will be used for network data collection. Interview data will be coded for analysis. Network data on social ties will be analyzed by social network analysis method.

This study attempts to understand the interaction of gender and dynamics of cross-sector partnership. The aim of this research is to study the network of women leaders of non-governmental organization, which help them to plot a route for effective cross-sector relationship. Socially constructed gender expectations often determine the roles of female and male leaders, so that women often undergo numerous barriers regardless of their actual professional competence. The study attempts to understand how women leaders deal with such complexity of the relationships, in the relatively male dominating society of India, where participation of women in public service is limited. The study of women leadership network will also provide the insights on how network influences the interdependence of women NGO leaders with the partner organization. The findings will provide understanding about similarities and differences in network of women and men leaders of nonprofits and their perceptions about the gender in cross-sector partnerships.

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Paper Number: PA041064

Paper Title: Who's Influencing Whom? A study of the influence of the CEO and the Board of Directors on Funding Strategies

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Summary of Research

In a research setting of non-profit organizations, the assumption of financial ownership as the guiding force to describe the relationship between CEOs and boards of directors is relaxed. By examining the fundamental attributes of principals and agents beyond an economically defined view, this study hypothesizes that the composition of the Board of Directors and the independence of the CEO influence the funding strategies of social service non-profit organizations. The results from the study will extend our practical and theoretical knowledge of the relationship between the CEO and board of directors in non-profit organizations.

Description

The economic-based and managerial-based views of strategy implementation suggest that either the CEO or the board is in the best position to evaluate and implement the appropriate strategy for the organization. However, if we view the relationship between the CEO and the board as an interdependent set of transactions, we can move away from the 'either-or' mentality and gain a broader perspective on the relationship between the actors. As the relationship between the CEO and the board of directors can be described as "a two-sided, mutually contingent, and mutually rewarding process involving 'transactions' or simply 'exchange'" (Emerson, 1976: 336), this research will examine how the composition of the Board of Directors and the independence of the CEO influence strategy implementation in non-profit organizations.

Board Diversity: Among the many roles performed by the board of directors, including co-opting influence and providing legitimacy for the organization, the board of directors is a means to access resources that are not part of the organization's internal resource base (Pfeffer and Salancik, 1978; Zahra and Pearce, 1989) or it is a third party to monitor and ratify managerial decisions on behalf of the organization's stakeholders (Jensen and Meckling, 1976; Fama and Jensen, 1983). Outside directors are expected to provide access to necessary resources (Hillman, Canella, and Paetzold, 2000) and an independent evaluation of the CEO. As the boards of directors of non-profit organizations are generally composed entirely of outsiders, identifying the percentage of outsiders will not contribute to an understanding of the board's influence on strategy. Instead, we must look at the diversity of the board of directors.

Boards of directors can be diverse along two different dimensions: occupational and constituent. The former refers to the degree of occupational heterogeneity among board members while the latter refers to board representation of the organization's stakeholders. Both kinds of diversity provide links to the environment but the kinds of links vary. Occupational diversity suggests more non-redundant links to financial and human capital, expertise, and physical resources while constituent diversity suggests direct representation of the interests of the organization's stakeholders. When a board is made up of individuals with links to the same resources, the organization does not receive any benefits beyond those contributed by the first individual with the same connections (Burt, 1983). Therefore, when an organization relies on financial and in-kind donations, diversity among the directors suggests access to a wider variety of resources from which the organization can benefit. Organizations with more occupationally diverse boards of directors are expected to have higher levels of funding as well as more sources of funding. This leads to the first hypothesis:

H1: □ Board occupational diversity will be positively related to the level and diversity of funding in the organization.

Beyond providing links to a variety of resource providers, board members may also represent different organizational stakeholders. For example, an organization that provides a social service could increase its standing in the community by including community leaders such as representatives from local churches, local and state government offices, or the police department on the board of directors. While the organization's stakeholders may have different expectations of the organization, they share the same goal of ensuring the success of the organization. In their roles as board members and with their familiarity of the financial situation in the organization and the necessity of attracting donations, they will therefore work to ensure that the organization has an adequate level and diversity of funding. Therefore, organizations with more constituent diversity on the board of directors are expected to have higher levels of funding as well as more sources of funding. This leads to the following hypothesis:

H2: □ Board constituent diversity will be positively related to the level of funding and diversity of funding in the organization.

CEO Tenure: A long-tenured CEO benefits from a power base and institutional knowledge built up over years at the organization. The result of long-term interactions with the board can translate to implicit control or power over the organization's board of directors (Finkelstein, 1992).

Ownership power is considered one of the components of managerial power and is typically thought of in terms of financial ownership (Finkelstein, 1992). In organizations where there isn't the possibility of considering financial ownership, we can consider psychological ownership and its influence on the power of the actors in the organization. This effect was suggested by Olson (2000) in his test of agency theory among managers and boards of advisors at non-profit universities. He found that the tenure of the university presidents was positively related to gift income at the university (Olson, 2000).

Psychological ownership of an organization can increase the strength of an individual's position in the agent-principal relationship. "A long-tenured president may feel a greater sense of ownership to his or her institution, thereby making them feel more like principals than agents" (Olson, 2000: 294). With increased power, an individual's ability to influence the other actor in the relationship increases.

Therefore, there may be situations where the CEO is responsible for monitoring the decisions and actions of the Board of Directors. When the board members agree to meet fundraising requirements, the CEO would have an interest in monitoring whether or not the board members are meeting those expectations. In an organization that relies on funding from donors rather than customers, the CEO's ability to meet the organization's mission and maintain her job security is contingent on her ability to ensure the board members are fulfilling their roles.

The independence of the CEO would influence her ability to monitor the activities of the board of directors without any undue influence from other organizational actors. A CEO that has the power to 'manage' the board may in fact be acting to ensure that decision-making power continues to reside in her position rather than the board president's. This may be an example of 'defensive centralization' (Newman & Wallender, 1978:28) where the goal is to ensure that the organization's decisions continue to be in line with the demands of the external stakeholders. I hypothesize that CEO tenure will be positively related to the level and diversity of funding by the organization. If this relationship is supported it would suggest that the CEO is monitoring the actions of the board of directors to ensure the financial stability of the organization.

H3: □ The tenure of the CEO will be positively related to the level and diversity of funding in the organization.

Interaction of CEO Tenure and Board Diversity: The CEO has an economic interest in the success of the organization and a greater incentive to monitor the board members to ensure they are fulfilling their responsibilities to the organization. If the organization does not receive adequate funding, it may be forced to close and the CEO would be out of a job.

The preceding hypotheses suggest that the independence of the CEO influences her ability to

successfully monitor and manage the organization's dependencies on external funding sources. However, the ability of the CEO to manage these dependencies could also depend upon the access to resources provided by the board of directors. This suggests that the effects of CEO tenure and board diversity on funding strategies within an organization may be interdependent.

As outlined in hypotheses 1 and 2, board diversity offers access to a greater variety of resources and provides opportunities for greater linkages to the environment. However, a diverse board is also more susceptible a lack of cohesion (Clendenin, 1972; Finkelstein and Hambrick, 1996) as well as an inability to reach consensus (Shaw, 1981). The lack of consensus and cohesion can reduce the power of the board (Hackman, 1986; Lorsch, 1989) and influence its effectiveness.

A powerful monitor could counter these effects of board diversity. Herman and Heimovics (1990, 1994) found that effective CEOs in nonprofit organizations are able to provide more leadership to their board members; therefore, the effectiveness of the board of directors may depend on the leadership skills of the CEO. A powerful CEO would be more effective at managing external dependencies when she is able to draw on the experiences and links available from a diverse board of directors with regards to the constituents and occupations it represents. This suggests that there is an interaction effect between CEO tenure and board diversity on the level of funding in an organization as well as its diversity of funding.

H4a: □ The relationship between board occupational diversity and the level of funding in an organization will be stronger the longer the CEO's tenure.

H4b: □ The relationship between board constituent diversity and the level of funding in an organization will be stronger the longer the CEO's tenure.

H5a: □ The relationship between board occupational diversity and the diversity of funding in the organization will be stronger the longer the CEO's tenure.

H5b: □ The relationship between board constituent diversity and the diversity of funding in the organization will be stronger the longer the CEO's tenure.

Data and Method

To test the hypotheses predicting the total income, funding diversity, and performance I used ordinary least squares regression to analyze three years of data from 183 Boys and Girls Clubs. These organizations are part of the Midwest region of the Boys and Girls Club of America, one of five regional offices as defined by the national office, and they represent approximately 400 clubs in 13 states. All of the organizations in the sample have the same mission statement but independently develop and implement strategies.

The data used in the study have been gathered from three sources: internal annual reports that each club submits to the regional office, an on-line survey to leaders in each organization, and the U.S. Bureau of Labor Statistics. This data was supplemented by interviews with managers in the Boys and Girls Clubs at the local, regional, and national levels.

Conclusion

This study initiates a stream of research exploring the roles of CEOs and boards of directors in the development of funding strategies and managing performance in non-profit organizations. By selecting a non-profit research setting, I was able to relax the implications and assumptions of financial ownership to test traditional and new predictions of the roles of CEOs and boards of directors. It is hoped that this study stimulates new research concerning the roles of the CEO and board of directors as well as the role of corporate governance in non-profit organizations.

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Paper Number: PA041090

Paper Title: The Use of Audience Segmentation Analysis to Inform Public Service Advertising Campaigns: Results from a Quantitative Analysis of the Ad Council's Social Issues

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Summary of Research

The Ad Council conducts an omnibus weekly tracking survey that queries the public on issues related to our PSA campaigns. An audience segmentation analysis (cluster and factor analyses) was applied to this large dataset. The results suggest that a significant segment of the public can be identified as more likely to get involved with select social issues. Members of this "selective engagement" segment are more likely to be affluent, have a higher education level and share other demographic characteristics. This method of analysis may prove useful to other organizations as they plan and evaluate their communications programs.

Description

When businesses want to know more about their constellation of consumers, market researchers frequently turn to audience segmentation analysis as a means to answer vital questions. In the world of social issues marketing, large-scale segmentation analyses are rare. But nonprofit organizations also need to know who is open to their message and who is hearing their communications. Many also need more sophisticated mechanisms to assess the impact of their communications campaigns.

The Ad Council, the nation's oldest and most prolific producer of public service advertising (PSA) campaigns, has long been addressing these challenges. To better evaluate the impact of our campaigns, in August 2001 the Ad Council began conducting a proprietary "Social Issues Omnibus Tracking Study" in partnership with Millward Brown, Inc. This ongoing study randomly surveys adults nationwide on a weekly basis, asking questions specifically relating to an array of Ad Council campaigns, delving into areas such as perceived importance of issue, awareness of messages, aided ad recall, and relevant attitudes and behaviors.

For each issue, the study identified those engaged enough with the issue to have taken action, or to have considered taking action. But several questions remained. Are certain segments of the public generally more likely to become engaged in a social issue? If so, who are they? Which issues are more likely to appeal to those with this predilection?

Advanced statistical methods of cluster and factor analysis have been employed to help answer these questions. The results argue for an underlying thesis that may be of interest to organizations involved in social issues marketing: Given the range of issues covered in the Ad Council research, findings suggest that there is a significant segment of the adult public who can be identified as more likely than others to get involved with select social issues. Members of this "selective engagement" segment are more likely to be affluent, have a higher level of education, and share some other demographic characteristics.

Factor Analysis – Understanding the Issue Categories: Factor analysis reveals the conceptual structure that underlies the myriad of issues that we have asked about in the survey. We ran an exploratory factor analysis on the 22 issue questions using principal components with varimax rotation to understand what this conceptual structure looks like. The factor analysis reveals four categories underlying the issues covered in the tracking study. These categories include Family Dysfunction, Education of Children, Environment and Health, and Civics.

Cluster Analysis – Identifying Issues-Based Audience Segments: In this analysis, the two-cluster solution makes the most sense of the many solutions we analyzed. The analysis reveals two primary issues based segments: the Low Involvement and the Selective Engagement segments. The Low Involvement segment comprises approximately two-thirds of the sample, and the Selective Engagement group is the other one-third. The Low Involvement group does not differentiate the importance of the issues. In comparison, the Selective Engagement segment manifests much higher levels of concern and involvement on three issue categories: Family Dysfunction, Education of Children, and Civics.

Implications: From a perspective of social issues marketing, this analysis highlights the potential utility in identifying an audience segment with a predilection for engagement. From a tactical perspective, it may prove useful for other nonprofits to perform similar analyses to further identify and refine their understanding of a responsive segment.

For the Ad Council, this analysis has practical implications. From a planning perspective, the segmentation criteria can be leveraged in focus group/interview recruiting in qualitative research to refine exploratory messaging and communication development. In particular, we hope this approach will help advertising agency strategic planners to devise better strategies to reach the "low-hanging fruit." From an evaluation perspective, the Ad Council has incorporated the segmentation into survey tracking studies of individual campaigns, and defined these segments as a banner points against which to compare campaign impact.

This paper is based focuses on findings from primary quantitative research. External references include:

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Paper Number: PA041334

Paper Title: Decision Making in a Time of Uncertainty: How Strategic Choices Are Impacted By Perceived Funding Threats

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Summary of Research

This paper addresses how perceived financial threats and actual declines in funding impact the strategic choices that human service nonprofits make with respect to maintaining and developing services and engaging in cost reducing and revenue generating initiatives. Using longitudinal data collected over three years, we investigate whether organizations who foresaw financial difficulty behaved differently than did organizations who were less concerned about financial problems. The impact of resource dependence and level of actual financial difficulty is also assessed. This knowledge is critical to understanding how nonprofit organizations are responding to the current uncertain funding environment.

Description

The recent slowdown of the national economy, paired with growing devolution and budget crises in many states, has produced a frighteningly uncertain funding environment for many nonprofit human service providers. Although nonprofits of all types have experienced increased challenges maintaining funding levels, this is particularly a problem for human service nonprofits, as this is a sector that is highly dependent on government funding for its survival (Gronbjerg & Smith 1999). To illustrate, in Los Angeles about three-quarters of the total dollars received by human service nonprofits in 2002 were from government sources (Mosley, Katz, Hasenfeld, & Anheier 2003). A year later, almost half of those organizations reported a decline in government revenue (Anheier, Katz, Mosley & Spivak 2004). This has serious implications for the future of these organizations and calls into question how they will respond.

Organizational theorists from different perspectives have long argued that organizations use adaptive tactics to respond to their environment (Baum and Singh 1996, Pfeffer and Salancik 1978). Given the instability of the current funding environment and changing government policy priorities, it is critical that we know more about the process of how organizations respond and make strategic choices under conditions of uncertainty, and the literature on this topic, specifically, has been growing. Foster and Meinhard (2002), in their study of collaboration as a response to uncertainty, found that perceptions of the environment, not just concrete incentives and constraints, were very important in determining motivation to collaborate. Galaskiewicz and Bielefeld, in their 1998 book on the topic, found that managerial tactics and decisions greatly impact organizational growth and behavior patterns, but not always in clear ways. They also found that the tactics chosen were partially explained by resource dependence factors.

Preliminary findings from our data show that organizations are adjusting to the changing environment in different ways, including expanding services, reducing services, and engaging in cost reducing strategies such as joint ventures with fellow nonprofits and in revenue generating initiatives such as for-profit ventures. These findings do not reveal a simple link between perceived challenges and strategic choices, however, as we found that greater financial challenges are positively correlated with program cutbacks, but that addition of new programs is unrelated to extent of financial difficulty. We need to know more about how these strategic choices are made and what predicts certain decisions. Additionally, how are perceived revenue threats and actual decline in revenue related to these decisions?

This paper will address how perceived future financial challenges impact organizational behavior by asking if organizations who identified financial challenges as the most pressing for their organization 18

months ago have undertaken different activities over the past year than organizations who felt more financially stable. The activities monitored are the addition of new programs, discontinuing existing programs, expanding or starting a joint program with another organization and expanding or starting a profit making venture. This question will also be broadened to see if the answer is related to dependence on a particular funding type (such as government or fees), in order to test resource dependence effects. Additionally, the impact of having a strategic plan and the extent of financial difficulty the organization actually experienced in that time period will be investigated. Demographic variables such as size, age and primary activity of the organization will be included in the analysis.

Our recent survey data, collected over the past three years on the same representative sample of human service nonprofits in Los Angeles County, provides an excellent opportunity to study organizational responses to the current funding environment. This longitudinal analysis will be done using data from two points in time. In the summer of 2002, the executive directors of 707 human service nonprofits in Los Angeles County responded to a comprehensive hour-long telephone survey, providing information on finances, governance, and perceived challenges, among other topics. A follow-up survey on a subset (N=264) of these organizations, conducted in January 2004, tells us how the challenges, finances and activities of these organizations have changed. Results from these surveys will be supplemented by illustrative examples given by nonprofit leaders in three focus groups that were held in February of 2004.

We will perform two complementary analyses to answer the above research questions. First, correspondence analysis, a technique for viewing and analyzing contingency tables graphically (Greenacre and Blasius 1994), will be used in order to map the relationship between different patterns of financial distress and strategic choices, as well as how those are related to a variety of organizational traits such as size and age. Second, four logistic regression equations are proposed (one for each outcome activity listed above) in order to test which factors best predict whether an organization will choose a certain strategy. As mentioned above, perceived threats, type of resource dependence, possession of strategic plan, level of actual financial difficulty, size, age, and primary activity will be used as predictors.

This analysis enables us to provide a more complete picture of how perceived challenges, revenue changes, and organizational behavior are related for organizations with different budget profiles. The paper will contribute to the literature on decision-making, uncertainty, and resource dependency in nonprofit organizations, specifically, how decisions are mediated by an organization's perception of the funding environment, budget profile and demographic characteristics. This knowledge is critical in this time of devolution, government cutbacks and changing priorities regarding social policy, because it helps inform us which organizations are vulnerable and which characteristics of organizations serve as insulating factors.

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Paper Number: PA041191

Paper Title: Investigating the Relation between Financial Outcomes, Good Management Practices and Stakeholder Judgments of Effectiveness in Nonprofit Organizations

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Summary of Research

This paper will use panel data, collected from local nonprofit organizations first in 1993-94 and then in 2000-01, to investigate the following hypotheses, derived from prior research. Financial condition at time 2 will depend on good management practices (including extent of performance measurement of key organizational activities). Stakeholder judgments of organizational responsiveness and organizational effectiveness will not depend on good management practices (including extent of performance measurement). The results of regression analyses are consistent with both hypotheses. The implications of the results are considered.

Description

Issue: Previous research suggests that good management practices in nonprofit charitable organizations (such as strategic planning, and measuring client satisfaction) mostly do not affect judgments of organizational effectiveness by stakeholder groups (author identifying reference deleted). Other research (e.g., Galaskiewicz and Bielefeld, 1998) suggests that various management practices and strategies affect financial performance in nonprofit organizations. In this paper the question of whether use of good management practices is more important in affecting financial outcomes than in affecting judgments of organizational effectiveness is addressed.

Background: The last several years have seen some increased interest in research on nonprofit organizational effectiveness. (Author identifying reference deleted) have argued that progress in identifying what practices improve overall organizational effectiveness in nonprofit organizations has been very limited. Such difficulty in substantial part is attributable to the challenge of identifying an effectiveness criterion. Nonprofit organizations lack any “bottom line” measures equivalent to those often used to measure success in businesses. Recent reviews such as those by Forbes (1998) and Stone and Cutcher-Gershenfeld (2002) demonstrate that studies of nonprofit organizational effectiveness are characterized by differing theoretical perspectives and research methods, which have made accumulation and integration impossible.

□ Some cross-sectional research suggests a relationship between various management practices, often part of the strategic planning process, and some measure of overall effectiveness. However, Stone, Bigelow and Crittenden (1999) show that little can be reliably said about what elements of the process nonprofit organizations should use to improve their overall effectiveness. Recently, (author identifying reference deleted) showed that the judgments of nonprofit organizational effectiveness by various stakeholder groups were infrequently related to extent of use of either “correct management practices” or “good board practices” when controlling for prior judgments of effectiveness.

Current research: In this proposed paper we will present the results from a panel study of local nonprofit organizations. We collected data on 64 organizations in 1993-94 and on 44 of the same organizations in 2000-01 (the notable decrease in sample size is due in part to merger and dissolution, but also to refusal to participate). We collected data on all the same variables at time 2 as at time 1, as well as data on additional variables at the second time. Data on financial surplus and on total revenues (both over a three year period) was collected at both times. Data on judgments by various stakeholder groups (board members, funders and senior managers) of overall organizational effectiveness was also collected at both times, as was data on the extent to which organizations used a set of “good management” practices identified at the start of the research by a group of practitioner-experts. Other data was collected only during the second period – on a measure of organizational responsiveness (adapted from Tsui, 1984) and on the extent to which the sample organizations formally measured their

performance in a variety of activities. We use this data to evaluate the hypotheses: (1) financial condition at time 2 will depend on good management practices (including extent of performance measurement of key organizational activities); and (2) stakeholder judgments of organizational responsiveness and organizational effectiveness will not depend on good management practices (including extent of performance measurement).

□The results mostly support the hypotheses. The paper concludes with an interpretation of the results and a consideration of the implications for practice.

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Paper Number: PA041210

Paper Title: Nonprofit Child Welfare Service Delivery in a Performance-Based, Managed Care Contracting Environment

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Summary of Research

While performance-based and managed care contracting initiatives have become increasingly common in service sectors populated by nonprofit organizations, the effects of these fiscal arrangements on nonprofit service providers are not yet fully understood. This paper will examine the variation in service provision between nonprofit agencies operating under either a performance-based, managed care contracting system or a fee-for-service financial arrangement. Relying on a dataset of foster children that were randomly assigned to nonprofit agencies in Wayne County, Michigan, this paper will examine whether nonprofit organizations pursue the financial incentives within performance-based, managed care models by reducing service provision to their clients.

Description

Central Issue

In response to increasing child welfare caseloads, concomitant increases in child welfare expenditures, and state fiscal dilemmas, some states have reorganized the way in which they deliver and pay for child welfare services (U.S. General Accounting Office, 1995; Wulczyn, 2000a; Wulczyn, 2000b). Increasingly, states have developed innovative ways to contract out portions of their public child welfare systems to the nonprofit sector (Craig, Kulik, James, & Nielsen, 1998; U.S. General Accounting Office, 1998).

Two privatized service delivery models that have been embraced by public child welfare systems are performance-based contracting and variations of a number of managed care models. In performance-based contracting approaches, public agencies provide incentives for nonprofit agencies to meet or exceed contractually specified outcomes. Managed care models are usually more comprehensive, in that they usually involve some combination of performance-based contracting, prospective payments, capitation, and/or the transfer of case management responsibilities (Geen & Tumlin, 1999; Malm, Bess, Leos-Urbel, Green, & Markowitz, 2001). As of 1998, the most recent year for which data are available, 29 states were operating one or more performance-based or managed care child welfare initiatives, for a total of 47 child welfare initiatives (McCullough & Schmitt, 2000). Given that nonprofit agencies provide over half of all child welfare services in the U.S. (Kahn & Kamerman, 1999), the success of these initiatives may depend on how well nonprofit agencies adapt to these new fiscal environments.

This paper will examine the variation in service provision between nonprofit child welfare agencies operating under either a performance-based, managed care contracting system or a traditional fee-for-service financial arrangement. Relying on a panel dataset of randomly assigned foster children served by agencies in Wayne County, Michigan, this paper will contribute to the small literature concerning how nonprofit child welfare agencies respond to incentive-based contracting at a time when the federal government and the states are aggressively searching for cost-effective methods of providing child welfare services.

Available Scholarship

Despite the diffusion of managed care and performance-contracting models across the U.S. child welfare sector, empirical evidence on the impact of these purchase of service contracting arrangements on service delivery in the nonprofit child welfare sector is only now beginning to emerge. Such contracting mechanisms may reduce the number of service contacts, both within and outside the

agency, that foster children receive (Meezan & McBeath, 2003). Evidence from other service sectors suggests that nonprofit agencies operating in managed care environments alter their service programming to cut costs and improve efficiency. For example, risk-averse agencies in managed care behavioral health care environments have been shown to avoid especially costly programs or programs that serve only a fraction of their client population (Segal, 1999).

There is also some evidence that individuals with unusually significant needs receive fewer services in managed care environments (American Academy of Pediatricians Committee on Children with Disabilities, 1998; American Academy of Pediatricians Committee on Child Health Financing, 2000; Simpson & Fraser, 1999). Capitated service providers have been found to avoid offering services that might require unusual levels of fiscal or human resources (Buescher & Wernet, 1999; Segal, 1999). Provan, Milward, and Isett (2002) found that as a public mental health system transitioned to a managed care model, severely mentally ill clients received fewer services than they had previously, while lower-cost clients received more services. Stroul, Pires, and Armstrong (1998) interviewed health care administrators from 10 states transitioning to managed care, and found that only four had set up special programs for children with serious mental health needs.

While a majority of studies posit that managed care has demonstrable effects on the services that nonprofit agencies provide to clients, very few studies have assessed why these effects occur. Researchers have noted that the organizational context through which managed care policies are translated into either actual service provision or the withholding of requested services—the meso-level (Shortell, 1997) or the black box (Simpson & Fraser, 1999)—has received almost no conceptual or substantive attention (Bazzoli, 1998; Gold, 1999; Hurley, 1997; Van Ryn & Fu, 2003). In short, current research often cannot disentangle the fiscal policy, organizational, and client-related factors associated with the provision of foster care services.

Research Methods

Empirically, this paper will present analyses regarding a sample of 244 foster children being served by nine nonprofit agencies in Wayne County, Michigan. These agencies have contracted with Michigan's public welfare agency to provide foster care services under one of two contractual mechanisms: a per child, per-diem reimbursement system; or a managed care reimbursement system that contains performance bonuses for the movement of foster children into permanent placements. Because foster children in Wayne County are randomly assigned to nonprofit agencies, the results of this study are derived from an experimental design. The panel dataset contains 590 days of quantitative data on children's service histories, placement status, and individual and familial characteristics, as well as the characteristics of agency workers responsible for these children and families.

Hierarchical linear modeling (HLM) statistical techniques (Raudenbush & Bryk, 2002) will be used to test the relationship between service provision to the individual foster child and the following independent variables:

- ? Child and family demographic characteristics, such as the child's race, age, and reasons for removal from his or her biological household;
- ? Caseworker characteristics, such as the worker's caseload size, years of experience in the child welfare sector, and level of educational attainment;
- ? Organizational characteristics, such as an agency's age, degree of dependence on foster care for annual revenue, and organizational structure; and
- ? Fiscal policy characteristics, namely whether the agency is operating under a managed care or a non-managed care contract.

Potential Contribution of the Study

This paper will examine whether nonprofit organizations are motivated to pursue the financial incentives within performance-based and managed care contracting models. Few studies have explicitly considered how nonprofit service providers respond to incentive-laden contracts. Yet other conceptual

and empirical studies of vendorism and goal succession within the nonprofit human service sector (Arnould, Bertrand, & Hallock, 2000; Backman & Smith, 2000; Frumkin, 2002; Galaskiewicz & Bielefeld, 1998; Gronbjerg, 1993; Hasenfeld, 2000; Ryan, 1999; Tuckman, 1998; Weisbrod, 1997) are eroding some of the contentiousness from the thesis that nonprofit organizations' values are sensitive to changes in funding patterns, the "strings attached" (Weisbrod, 1988, p. 170) to various revenue sources, and competitive market conditions.

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Paper Number: PA041330

Paper Title: External Forces and Internal Dynamics of Campaign Selection in U.S. Environmental Movement Organizations

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Summary of Research

Campaigns in the U.S. environmental movement have changed over the last decade to include a greater range of local and global issues. To understand this shift, we examine the factors that influence environmental organization decisions about what issues to address and which actors to target. We present a model of external influences, such as knowledge and advocacy networks and donors, that are interpreted by organizations through four internal filters, consisting of organization processes that facilitate learning, core organizational values and beliefs, environmental philosophy, and previous experience. Data come from semi-structured, open-ended interviews with 21 representatives from 11 U.S. organizations.

Description

In the past decade, the U.S. environmental movement has been transformed. While attention continues to be directed toward national level issues such as wilderness preservation and pollution prevention policy, a growing commitment to both local and global issues has moved topics ranging from environmental justice to international trade and labor standards to the fore of the movement's agenda. As a means for better understanding the changing agenda in the U.S. environmental movement, this research examines the reasons why organizations elect to work on particular campaigns. Specifically, this study examines factors influencing the decisions that environmental movement organizations make about what issues to address and which actors should be the targets of their activism.

Previous studies have investigated factors shaping social movement mobilization, citing resource availability and shifting political opportunities as antecedent conditions (e.g. McAdam, 1982; McCarthy & Zald, 1977). Scholars also have examined topics such as tactic and issue selection (McAdam, 1996; McCammon, 2003; Meyer & Staggenborg, 1996). However, since the emphasis has been on studying social movements as an aggregate phenomenon, limited attention has been paid to the organizational dynamics associated with campaign selection. In those instances where the relationship of internal organizational factors to issue and tactic selection have been considered (e.g. Brulle, 2000; Dalton, 1994), the emphasis has been on the influence of environmental philosophy. As a result, the full range of factors that may be central to campaign selection decisions has not been studied.

In this research, we examine the role that external factors and internal organization dimensions play in the selection of campaigns by environmental movement organizations. Our model suggests that campaign selection is shaped by external influences, including knowledge and advocacy networks, participation in transnational events, and donors. These external influences are interpreted through four internal filters: environmental philosophy, core values and beliefs, previous experience, and organizational processes that facilitate learning. We propose that members of environmental movement organizations rely on these four filters to help them interpret and make sense of social and political conditions. These interpretations then form a basis that they use to guide them in their choice of campaign issues and targets.

Data for this research were collected using semi-structured, open-ended interviews. We interviewed a total of 21 representatives (such as campaign directors, executive directors, and administrators) from 11 environmental organizations with offices in the U.S.A. Six organizations were moderate in size with annual revenues of about \$5 million or less. Five organizations were larger, with annual revenues greater than \$20 million. Interviews transcripts are being systematically analyzed to understand similarities and differences between environmental movement organizations and to highlight the

relevant factors that influence campaign selection.

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Paper Number: PA041357

Paper Title: The Finances and Operations of Performing Arts Organizations in a Dynamic Period: Changes from 2001 to 2002

Author(s):

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Summary of Research

This paper uses a two-year panel of detailed financial and operating data from 477 performing arts organizations collected by the national service organizations representing nonprofit professional dance companies, theaters, operas, symphony orchestras, and performing arts presenters. The paper focuses on factors associated with superior financial and operational performance including the effect of marketing and development spending on the subsequent year's revenue and capacity utilization, the effect of changing ticket prices on financial performance, and the sustainability of high marketing and development efficiency rates.

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 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), the Ford Foundation (1974) 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. The Coalition engaged Urban Institute to compile and report on the data.

At ARNOVA in 2003, we presented data from the first year of the study in a static model, looking principally at how specific efficiency measures were associated with higher or lower levels of financial surplus or deficit within the bounds of a single fiscal year.

For 2004, we have assembled a second year of data, representing the activities of these organizations in fiscal years 2001 and 2002. We have in hand responses from 1,469 nonprofit live performing arts organizations, of which 797 responded in fiscal 2001, 672 in fiscal 2002, and 477 in both years. We thus have an opportunity to analyze both a pool of data that covers these two years, and a fairly large panel that we can use to track changes from year to year. The data set includes practically all of the major institutions in the fields of symphony, dance, opera, and theatre, as well as a significant number of presenting organizations. While our data set is a subset of the entire field, it is still one that represents most of the economic activity in these disciplines.

While the live performing arts always face changing environments, these two years are of particular interest because they were, effectively, bisected by September 11, 2001. Giving USA reported that philanthropy grew by 1 percent from 2001 to 2002, but the Chronicle of Philanthropy in late 2003 reported that the arts organizations in its Philanthropy 400 had FY01 to FY02 declines of 26.5 percent in charitable receipts. So, the background for these two particular years is a particularly turbulent one.

Our research focuses on factors associated with superior financial and operational performance.

Research questions include:

- Do comparatively high levels of spending on development and marketing lead to commensurate increases in box office income, contributed income, capacity utilization, and overall financial stability?
- Are organizations that reported more efficient fundraising and marketing efforts in FY01 show continued growth in income and are they able to sustain these efficiencies from year to year?
- How do ticket prices and their changes from year to year affect performance revenue and financial performance? Is there any effect on contributed income?

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Paper Number: PN042056

Paper Title: Volunteer Management Capacity

Author(s):

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

Description

This panel includes papers that report on a 2003 national study of volunteer management by nonprofit organizations. The purpose of the study is to provide baseline research on volunteer management capacity for the federal government. The current group of papers provide an opportunity for project researchers to focus on specific topics emerging from the study that have the potential to add to our emerging theoretical and empirical understanding of the behavior of nonprofit organizations regarding the management of volunteers and their adoption of best practices in volunteer administration.

Paper Number: PN042056.1

Paper Title: Determinants of Adoption of Volunteer Management Practices

Author(s):

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

Summary of Research

Charities are an important means through which Americans express their voluntary spirit. While nonprofit organizations help give meaning to the lives of their volunteers, the volunteers are also valuable to the operations of the organizations. Without volunteers, many of these organizations and programs would not exist. In order to effectively channel the enthusiasm and talents of volunteers, charities must have the organizational capacity and experienced staff to manage them. Volunteer management is an important, yet understudied, competency of nonprofit organizations. This paper explores adoption of volunteer management practices by charities and organizational characteristics that explain different levels of adoption.

Description

Charities are an important means through which Americans express their voluntary spirit. While nonprofit organizations help give meaning to the lives of their volunteers, the volunteers are also valuable to the operations of the organizations. Without volunteers, many of these organizations and programs would not exist. In order to effectively channel the enthusiasm and talents of volunteers, charities must have the organizational capacity and experienced staff to manage them. Volunteer management is an important, yet understudied, competency of nonprofit organizations. This paper explores adoption of volunteer management practices by charities and organizational characteristics that explain different levels of adoption.

The literature on volunteer management generally emphasizes a lack of capacity among charities to effectively manage their volunteers. The UPS Foundation (1998) reported results from a study of the experiences of volunteers. Two out of five respondents claimed to have stopped volunteering for an organization at some time because of one or more poor volunteer management practices. The reasons for stopping included the organization not making good use of a volunteer's time (23 percent), or good use of their talents, skills or expertise (18 percent); and volunteer tasks were not clearly defined (16 percent). The most arresting conclusion is that "poor volunteer management practices result in more lost volunteers than people losing interest because of changing personal or family needs" (p. 15).

Several studies have documented an overall lack of capacity among charities to effectively manage volunteers. A recent report from the Grantmaker Forum on Community and National Service (2003) points to the importance of the adoption of volunteer management practices: "In order to accommodate more volunteers, program managers say they need more organizational capacity – more professional staff, more funding, more infrastructure. The key issue is having the capacity to incorporate volunteer labor effectively so that neither the organization nor the volunteer is wasting time" (pp. 6-7). However, a report by the UPS Foundation (2002) concludes that "...finding support for the adequate management of volunteer resources is challenging for the sector" (p. 3). Researchers Grossman and Furano (2002) tie poor volunteer management capacity to poor service delivery. "No matter how well intentioned volunteers are," they write, "and unless there is an infrastructure in place to support and direct their efforts, they will remain ineffective at best, or, worse, become disenchanting and withdraw, potentially damaging recipients of services in the process" (p. 15).

Our current research has two aims. First, we seek to document the current levels of adoption of various volunteer management practices. Second, we explore factors that might explain greater or lesser levels of adoption of these practices.

Method

In the fall of 2003, we conducted telephone interviews on the subject of volunteer management with a stratified sample of charities drawn from the population of filers of Form 990 in 2000. We achieved a response rate of 69%, and we weighted respondents to reflect the expenditure and subsector strata from which they were drawn. The results are based on 1,753 charities. Our survey included a battery of questions about the extent of adoption of nine volunteer management practices discussed in the literature of the field: training and professional development for volunteers, recognition activities, training for paid staff in working with volunteers, screening procedures to identify suitable volunteers, written policies and job descriptions for volunteers, regular collection of information on volunteer numbers and hours, measurement of the impacts volunteers have on the organization they serve, regular supervision and communication with volunteers, and liability coverage or insurance protection for volunteers.

Preliminary Findings

Prior to the present research, no study had provided a reliable estimate of the percentage of charities that enlist volunteer workers. Our findings indicate that four out of five charities (81 percent) use volunteers in their operations. For this group, the survey asked respondents whether they had adopted each of the volunteer management practices to a large degree, to some degree, or not at all. Consistent with other studies, we found that few volunteer management practices have been adopted to a large degree by a preponderance of charities. Only 'regular supervision and communication with volunteers' was adopted to a large degree by more than half of charities. On the other hand, when we consider those charities and congregations that say they have adopted these practices to some degree, we learn that all are practiced by a majority of charities. We conclude that charities are sufficiently convinced of the merits of these practices to implement them to some degree, but face barriers in adopting them to a large degree.

Our second research question concerns the determinants of adoption of volunteer management practices by the charities. Although our data analysis is in its preliminary stages, some trends in the data suggest intriguing results. Not surprisingly, we observe that larger charities exhibit greater adoption of volunteer management practices, reflecting both greater capacity and greater capitalization of charities with larger budgets. We also observe that the more time that a paid staff person dedicates to volunteer management, the greater overall adoption of volunteer management practices. We investigate the effects of other variables on the adoption of volunteer management practices, including whether responsibility for the volunteer program rests with a paid staff member or a volunteer; the background or training of this individual in volunteer administration; the primary role performed by the volunteers in the organization (for example, direct service); and the charitable subsector of the organization (for example, health care).

In sum, this research will contribute knowledge concerning both the extent of adoption of recommended practices for volunteer management and the factors related to their adoption.

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Paper Number: PN042056.2

Paper Title: The Primary Duties of Volunteers: An Organizational Perspective

Author(s):

Amy Brimer, The Urban Institute, Washington, DC, USA

Summary of Research

Our paper utilizes data from a national survey of charities to develop a volunteer activity classification scheme. We asked respondents what duties their typical volunteers performed, and then we coded these responses into four emergent categories. We use this scheme to explore volunteer activity according to organizational characteristics. We additionally explore the organizational benefits and challenges unique to the utilization of each volunteer activity type.

Description

Overview

Our paper utilizes data from a national survey of charities to develop a volunteer activity classification scheme. We use this scheme to explore volunteer activity according to organizational characteristics. We additionally explore the organizational benefits and challenges unique to the utilization of each volunteer activity type.

Background

Much of the volunteerism research to date primarily examines volunteering from the volunteer's perspective: volunteer prevalence, volunteer motivation, and volunteer satisfaction. Prevailing research also focuses on defining "volunteering" in terms of types of activities performed and the context under which these activities are considered voluntary. Increasing professionalization of volunteer management has spurred interest in looking at volunteerism through an organizational lens. Much of this research, however, focuses on volunteer management practices. Little research has been done to assess the types of activities volunteers are performing within organizations and the value these activities bring to the organizations.

Volunteers perform a broad array of activities and tasks in charities. These tasks may include anything from mentoring a child to advocating for a particular cause or stuffing envelopes for an organization's annual fundraiser. While these activities reflect very tasks of very different sorts, Cnaan and Amroffell (1994) conclude that most research "lumps all volunteers together." They compare research on volunteerism to research on paid labor, stating that, "members of boards of trustees should be studied separately from volunteers who feed the homeless, just as executive managers should be studied separately from assembly line workers."

Fisher, Mueller and Cooper (1991) developed a classification scheme to report the types of volunteer activities undertaken by Minnesota senior citizens. Their study focused largely on determining the extent of volunteering and the types of activities older volunteers perform. While our study utilizes a similar volunteer activity classification scheme, our focus is primarily on determining how organizations utilize volunteers and the benefits and challenges organizations face when employing volunteers in these different types of activities.

Method

Our paper is based on data from a 2003 national telephone survey of 1,757 charities regarding volunteer management practices. These organizations were among a sample of 2993 charities drawn within expenditure and subsector strata from 214,995 charities that filed Form 990 with the IRS in 2000. The volunteer activity classification scheme is based on each organizational representative's response to a question asking him or her to describe the one main role volunteers perform within their organization. We received 1,323 open-ended responses to this question. After combing through these responses, we developed a four category classification scheme that reflects both the type of activity

performed and the placement of the activity on the chain of service delivery. The four categories follow:

- Direct Service: Volunteers are part of direct service delivery and work directly with clients. Examples include coaching, mentoring and counseling.

- Indirect Service: Volunteers provide service, but do not work directly with clients. Examples include performing maintenance, researching, and planting trees.

- Administrative Internal: Volunteers perform administrative tasks internal to the organization. Examples include filing, mailing, and other clerical type duties.

- Administrative External: Volunteers perform tasks with an external focus that contribute to the operation of the organization, but are not part of actual service delivery. Examples include fundraising, special event coordination, and advertising.

After developing these categories, we coded each organization's response into the appropriate category. Since these questions reflect the main task that most volunteers perform in an organization, we refer to these groups as categories of "primary use of volunteers" and infer that these organizations should vary on other characteristics as well.

Preliminary Results

Preliminary analysis indicates that over half of the organizations surveyed primarily use volunteers in direct service activities, while almost a quarter of organizations primarily involve volunteers in administrative external functions. Organizational size appears to have some bearing on the types of primary activities volunteers perform in an organization. While involving volunteers in direct service activities is predominant among all size categories, small charities are more likely to involve volunteers primarily in external administrative activities.

The level of benefits that charities derive from volunteers and the challenges they face in management of volunteers also appear to vary by type of primary volunteer activity. Although fewer organizations (less than 10 percent) primarily utilize volunteers in internal administrative tasks, these organizations are more likely to report greater levels of organizational benefits from volunteers. As for challenges associated with types of volunteer activities, organizations that primarily utilize volunteers in direct service roles report greater levels of challenges in volunteer management and recruitment than those organizations that primarily involve volunteers in indirect service roles.

These findings indicate that volunteers make different contributions to charities depending on the characteristics of organizations. Additionally, varying levels of benefits and challenges are associated with each type of volunteer activity. This paper helps address the need recognized by Cnaan and Amroffell, and Fischer, Mueller, and Cooper, for research on volunteerism to differentiate volunteers based on the types of activities performed.

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Paper Number: PN042056.3

Paper Title: Is Volunteer Management Formalization Always Beneficial?

Author(s):

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Summary of Research

Espoused best practices in volunteer management carry with them an assumption that formalization of management practices is always beneficial to nonprofit organizations and their volunteers. We develop a theoretical typology to predict when formalization, the nature of the volunteer assignment, and the motivations for volunteering might conspire to produce unhappy volunteers. We investigate several dimensions of the typology with case studies of nonprofit organization managers and their volunteers.

Description

Volunteers are integral contributors to civic life. However, Independent Sector's 1998 Survey on Giving and Volunteering suggests that volunteers are experiencing increasing rates of burnout. While the United States saw its highest level of participation in volunteering in 1998, during that year volunteer hours fell to an all-time low. Individuals continue to be drawn to volunteering, but somehow become disengaged after their initial service (Safrit and Merrill 2000). Considering the importance of volunteers to the philanthropic sector, an integral question emerges: Why do volunteers not remain engaged in their volunteer efforts? In this paper, we report on a case study approach to understanding sources of volunteer satisfaction and dissatisfaction with current trends in volunteer management.

Theoretical Orientation

Gidron (1983) described volunteer contributions to human service organizations as being "non-bureaucratic" or free from the formalities associated with paid work. This characterization, however, did not anticipate recent trends in volunteer management. For the past twenty years, volunteer management programs have become more professional, formalized, and potentially more bureaucratic. Best practices for volunteer programs often call for outputs found in paid work environments like written policies and job descriptions. Because of the advertised benefits of formal rules and structures in management of volunteers, these volunteers are increasingly working in organizations with volunteer coordinators, volunteer evaluations, and policies drafted specifically to manage their volunteer efforts.

But do volunteers embrace contemporary management styles and a more professional or formal volunteer environment? Current research on volunteerism in the nonprofit and public sectors does little to answer this question. Nonetheless, we can find some insights from Gidron's 1983 study of volunteer satisfaction and the literature on employer-employee relations. Though volunteer work often has a different character than paid work, there are similarities between the two. The level of satisfaction for both employees and volunteers is related to achievement at work, recognition from their supervisors, and the work itself (Gidron 1983). Employee dissatisfaction is most often related to policy, administration, and supervision. We assume that policy, administration, and supervision may also be sources of dissatisfaction for volunteers.

Researchers in the field of organizational development add another dimension to the potential sources of employee (and potentially volunteer) dissatisfaction: formalization. Hage and Aiken (1967) define formalization as the use of rules in an organization, the degree to which job descriptions are specified, the level of supervision, and the degree of latitude an employee may have to modify organizational rules. Hall (1996) asserts that formal management structures indicate that employers have little confidence in the judgment and self-control of their employees. New public management describes situations when formalized work environments may or may not be tolerable to employees. From this framework, we hypothesize that higher levels of formalization should be tolerable for volunteers doing routinized tasks requiring low levels of thought or creativity. However, for volunteers conducting

activities that require a good deal of creativity, formalized management structures may be confining or alienating.

In our current research, we try to understand volunteer satisfaction based on three dimensions: volunteer management style, the types of tasks volunteers are undertaking, and the reasons why the individual volunteers. From this research we hope to contribute to an understanding of how the formalization of volunteer management is related to the nature of the volunteer experience.

Research Approach

We conducted separate indepth interviews with 10 sets of nonprofit volunteers and volunteer administrators in Washington D.C. and the surrounding metropolitan region. Interviews with volunteers focused on volunteer satisfaction, the nature of their volunteer work, and their perception of the formalization of volunteer management. Interviews with volunteer managers focused on volunteer management practices and the ways that they conceptualize the work of their volunteers.

Preliminary Observations

Our case narratives support the contention that volunteers' attitude toward management is related to the reasons why they volunteer. Our theoretical framework suggests that people who volunteer for primarily altruistic reasons would not be dissatisfied while working in programs with minimal formalization. The cases provide some support for this position, with altruism motivated volunteers staying at organizations where they were they perceived programs to be poorly managed. However, we observed counter-examples of volunteers who believed that poor management inhibited their ability to "do good," and asserted that they would not tolerate poorly managed programs.

Other volunteer subjects were motivated to volunteer by a desire to make friends. We predicted that individuals performing routinized tasks in an informal (non-formalized) environment would be happy, overlooking management shortcoming due to their particular motivation to volunteer. This is the case for one case discussed in the paper, a humane society volunteer who eschews the shortcomings of management so that he can spend time meeting new dogs. The case based analysis does not cover all of the theoretical contingencies developed in the paper, but it provides a preliminary basis for refining our theoretical understanding of the relationship between volunteer management formalization and the quality of the volunteer experience.

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Paper Number: PN042056.4

Paper Title: What is the Monetary Value of Volunteers?

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Summary of Research

Our paper utilizes data from a new national survey of American charities to examine the variety of variables that affect the monetary value of a volunteer's time. We explore how the value of volunteer labor varies by volunteer assignments, organizational characteristics, scope of volunteer use, organizational dependency on volunteers, volunteer age, and volunteer management practices. Ultimately, we propose to predict what characteristics produce a high value volunteer.

Description

Overview

Our paper utilizes data from a new national survey of American charities to examine the variety of variables that affect the monetary value of a volunteer's time. We explore how the value of volunteer labor varies by volunteer assignments, organizational characteristics, scope of volunteer use, organizational dependency on volunteers, volunteer age, and volunteer management practices. Ultimately, we propose to predict what characteristics produce a high value volunteer.

Background

Most national research on American volunteering examines the topic from the perspective of the volunteers: what motivates volunteering, how often do people volunteer, and what are their main volunteer activities. On the other hand, little research is known about the actual value volunteers bring to the organizations they serve.

Each year, Independent Sector does reports a crude measure of the value of volunteer time. In 2003, for example, they estimate that an hour of volunteer's time is worth \$17.19 an hour. Using data from the Bureau of Labor Statistics, Independent Sector's calculation is based on the average hourly earnings of all production and non-supervisory workers on private non-farm payrolls and adds 12 percent to account for fringe benefits.

While Independent Sector's annual numbers receive widespread use, a more accurate valuation of volunteer labor would be based on how much an organization would be willing to pay to get a service if it did not receive it through volunteer labor. For some organizations, they would be willing to pay a substantial amount and other charities would be willing to pay little or nothing for the service. Through a contingency evaluation question on the national volunteer management capacity survey, we asked organizations to peg the hourly value of their typical volunteer's. Combined with organizational data and other survey questions about the role of volunteers in their organization, what their typical volunteers do and who they are, and their volunteer management infrastructure, we will determine what explains charities' different valuation of volunteer labor.

Method

Our paper is based on data from a 2003 national telephone survey of 1,757 charities regarding volunteer management practices. These organizations were among a sample of 2993 charities drawn within expenditure and subsector strata from 214,995 charities that filed Form 990 with the IRS in 2000. During the survey, we asked each organizational representative to think of a hypothetical

scenario. "Suppose you had the option of receiving a donation of money rather than an hour of time donated to your organization by one of your typical volunteers. Imagine you could use that money to hire someone to replace the volunteer time lost. How large would the monetary donation have to be for you to prefer the donation of money over the donation of one hour of time? In other words, on average, what is one hour of volunteer time worth to your organization?" We received responses to this question from 81 percent of the organizations that reported using volunteers (also 81 percent).

Preliminary Results

Preliminary analysis indicates (as expected) a wide range of values for volunteers. Perhaps giving some credence to Independent Sector's overall estimate of \$17, the median charity reported that their typical volunteer is worth \$20 an hour. As expected, we are also found that the value of volunteer labor fluctuates by factors such as work assignment and volunteer demographics. For instance, volunteer fundraisers appear to be highly valued compared to volunteers who engage in office work. This paper will flesh out why the monetary value volunteers bring to organizations varies and if certain organizational characteristics correlate with higher-value volunteers.

Paper Number: PN042055

Paper Title: Silos, Service Delivery and Community Based Organizations: Section Two: Innovative Attempts to Combat Silos? THIS IS THE SECOND HALF OF A DOUBLE SESSION

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Description

Observers of social welfare service and health care provision have long bemoaned the fragmentation of these services, both in terms of who provides service and divisions among organizations that focus on a particular issue. Families needing assistance often find that they must access multiple organizations to meet their needs. These organizations usually function within service delivery silos where they have little interaction with organizations providing complementary services necessary for their program participants to achieve their goals. These service delivery silos often stem from the narrow mandates of government and other funding sources. Organizations limited ability to collaborate with others also comes from narrowly focused missions and a tendency to develop networks with similar institutions.

Service delivery silos also refer to divisions among the various key participants in social welfare and health service provision: government, non-profits, faith based organizations, faith communities and for-profit organizations. Due to a combination of funding sources, mission history, public policy and local service delivery structures, different sectors dominate service delivery for various social problems. The partnerships among each type of institution reflect limited social capital connections as well as these various factors.. While each of these types of institutions have participated in social welfare and health service provision in most modern democracies for several centuries, the role of each in service provision and their relationship to each other has shifted over time. Given recent attempts in many countries to re-organize the role of these various sectors in providing for health and welfare, relationships among these various institutions, as well as the relative merits of institutional type as appropriate service providers, have become the subject of much scholarly and policy debate.

These two aspects of service delivery silos impact on each other because interactions among institutions participating in the broader social welfare system profoundly influence the kind of supports available in local communities, ways that people access systems, and their ability to successfully package together the various services needed. While scholars, policy makers and practitioners recognize the need to break down these silos both to enhance quality of life and promote institutional efficiency and effectiveness, various mechanisms have been proposed to achieve these goals. Evaluation of these various new partnerships or service delivery strategies has also generated much controversy.

The proposed double session addresses the theoretical and practical aspects of service delivery silos through papers analyzing this issue in several countries and focused on a variety of social problems. Papers address the impact of various funding sources on silo creation and maintenance, as well as issues of diversity as government attempts to partner with institutions thought to better serve various populations. The first half of the session focuses on the dynamics between grass roots organizations, government, and other funders or institutions. The second half looks carefully at recent attempts to bridge service silos. Papers comparing the United States, Canada, the Netherlands, and New Zealand.

Section One: From Grass roots to Government, Service Delivery Silos and Local Institutions
Chair/Discussant: □ Carl Milofsky

Thomasina Borkman: The Struggles of Self-Help Resource Centers to Obtain Support: Government Indifference to Innovative Mediating Organizations

Jo Cribb: Paper Armies? The Impact of parishes and members on Voluntary Organizations Interactions

with Government

How different types of voluntary organisations interact with government has been given minimal attention to date. Research has focused on the nature of the funding relationship and the lens of resource dependency has been widely utilised. Adopting a different lens - the constitutional structure of voluntary organisations - provides for new insights. By comparing four organisations with different constitutional structures - two faith based, two community based - in terms of how they approach their relationship with government, this paper will discuss the impact of a voluntary organisation's 'constituencies' on its interactions with government and the policy implications of the findings.

Linda Pitt Donaldson: Advocacy Among Secular and Non-Secular Human Service Providers: Possibilities for Partnerships in Social Justice

The devolutionary trend of social welfare functions to state and local governments has sharpened the focus on the need for human service agencies to advocate for policies, programs, and resources that improve the lives of vulnerable populations. In addition, President Bush's faith-based initiative has raised questions about the future of the prophetic voice of faith-based communities regarding social change. This paper presents data obtained from a mixed-methods research study which examined correlations between select organizational factors and the advocacy behavior of human service agencies in Washington, D.C. Organizational factors considered are age, size, funding, faith-based status, and leadership. The author concludes with recommendations on ways in which communities can draw on the experience of human service agencies to advocate for social justice.

Jorge Sousa: Building Co-operative Community: The Conversion of Alexandria Park Atkinson Housing Co-operative

After ten years of struggle, the Atkinson Housing Co-operative in Toronto became Canada's first tenant-managed non-profit public housing co-operative. Over the years different events contributed to the process of community change. These events serve as pivotal points to empirically identify and analyze the underlying factors associated with increasing tenant-management. This case study examines those events using five elements: community resources; social capital; community leadership; community consciousness; and role of government. These elements form the basis of a community development model which can be applied to other low-income communities who want greater control over the fate of their community.

Section Two: Innovative Attempts to Combat Silos?

Chair/Discussant: Wolfgang Bielefeld

Jo Anne Schneider: Silos and Social Capital: Bridges and Barriers to Holistic Social Welfare Systems in Marginalized Communities

Providing consistent, high quality holistic services in marginalized communities remains a persistent challenge. Government systems create service delivery silos, which are echoed among social service agencies. Even multi-service agencies find their staff pulled in different directions by funding sources and provider coalitions. Providing holistic services also remains a challenge because of limited social capital among government, city-wide organizations, and community based institutions. Using concepts of bridging and closed social capital, this paper explores the reasons behind these service silos, examines attempts to provide holistic services, and discusses policy and program alternatives that would enhance holistic service delivery.

Bob Wineburg: A Local Department of Social Services Wants to Work with the Local Religious Community: What Happens when an Elephant Proposed to a Fish?

This paper will report the results of a study assessing what it would take for one community's public department of social services to develop a long-term relationship with the community's white and black churches. This author did this study in collaboration with a community committee. The membership was comprised of: (1) a social worker and her assistant, both appointed by the director of the 600 employee department to represent the local public the department of social services; (2) a representative from an agency that serves the elderly and uses the religious community extensively, especially for congregational meal sites; (3) a representative from the county's Community Action Program,

the only faith-based CAP in the US; (4) and the local urban ministry which has 250 of the community's 400 churches in its sphere. The paper discusses the reality of planning partnerships between the local department of social services, an agency that has to provide mandated services, and the faith community whose nonprofit organizations and congregations provide services voluntarily. The paper also discusses the intricacies of community planning against the backdrop of President Bush's community intervention strategies surrounding his faith based initiative.

Dave Campbell: *Serving the Hard to Employ: Models of Government/Non-profit Collaboration*
This paper uses field research and administrative data from California's Community and Faith-based Initiative to describe how hard to employ individuals are served by local workforce development systems, including government One-Stops, secular nonprofits, and faith-related organizations. It posits three models for how community based organizations relate to government—1) an alternative delivery system for individuals who are underserved or refuse service at One-Stops, 2) a source of remedial support and services that makes clients ready for the One-Stop; or 3) as active partners co-located at One-Stops or serving as a satellite service delivery center. Factors surrounding these options are explored.

Joyce Keyes-Williams: *Exploring Government and Nongovernmental Relations in Comparative: Social Welfare Policy in the United States and the Netherlands*
This paper explores government/ nonprofit relations in the Netherlands and the United States. At the outset, I offer a brief word about terminology. Next, I outline the features characterizing the relationships. Here, a distinction between the different forms of collaboration is established. Then, several factors that influence the relationships are highlighted including the different functional roles each sector plays, the impact of history, national traditions, and types of legal systems. Drawing from this contextual information, two case examples are compared and contrasted in light of the efforts to address the problem of substance abuse in each national setting.

Paper Number: PN042055.1

Paper Title: Silos and Social Capital: Bridges and Barriers to Holistic Social Welfare Systems in Marginalized Communities

Author(s):

Jo Anne Schneider, Catholic University of America, Bethesda, MD, USA

Summary of Research

Providing consistent, high quality holistic services in marginalized communities remains a persistent challenge. Government systems create service delivery silos, which are echoed among social service agencies. Even multi-service agencies find their staff pulled in different directions by funding sources and provider coalitions. Providing holistic services also remains a challenge because of limited social capital among government, city-wide organizations, and community based institutions. Using concepts of bridging and closed social capital, this paper explores the reasons behind these service silos, examines attempts to provide holistic services, and discusses policy and program alternatives that would enhance holistic service delivery.

Description

Providing consistent, high quality holistic services in marginalized communities remains a persistent challenge. Government systems tend to create service delivery silos by focusing on one part of a complex problem. At the state and federal level, initiatives focused on social welfare, health, housing, education, and child welfare frequently are handled through different government departments, each with its own rules, systems, and contracting process. To a varying extent, local government repeats this silo service delivery strategy. As a result, this silo system is echoed among social service agencies as most focus on a particular problem or set of problems. Even holistic agencies find their staff pulled in many different directions in response to problem focused funding sources and provider coalitions. At the local level, community members become frustrated with the need to seek help from multiple agencies with duplicative systems.

Providing holistic services also remains a challenge because of limited social capital ties between government, city-wide or regional organizations, and people and institutions that are the primary supports for marginalized communities. Social capital disconnects occur at several levels. Federal and state government, as well as national or regional organizations, often have limited and opportunistic ties to institutions in marginalized communities. Sometimes the institutions with ties to federal, state and even local government or foundation funders have limited ability to reach those most in need in marginalized communities. The grass roots organizations and networks in these communities may have their own closed systems, mistrusting bridging individuals and organizations, as well as government. In other instances, community based institutions are eager to work with bridging institutions, foundations and government, but lack the connections and technical expertise to compete for funding and manage contracts.

Using concepts of bridging and closed social capital, this paper explores the reasons behind these service silos, examines several attempts to provide holistic services, and discusses policy and program alternatives that would enhance holistic service delivery. The proposed paper would provide a broad overview of this topic, addressing silos among systems concerned with health, social welfare, education, children and youth. Data from a variety of sources would be used to describe consistent patterns in U.S. communities. Systems theory, inter-organizational dynamics theory (particularly Powell, Warren, Milofsky), and social capital theory (particularly Foley and Edwards, Bourdieu, Portes, Woolcock, Schneider, Putnam) would be used to understand the silos problem theoretically. Examples of attempts to create holistic systems would be used both as part of the theoretical analysis and to address the practical implications of this problem. Conclusions would use theory to suggest ways to combat silo systems in order to provide quality, holistic services in marginalized communities.

Data comes from several sources. First, I draw on multi-methods research in Philadelphia, Milwaukee,

Kenosha and Washington DC conducted between 1992 and 2003. Philadelphia research includes eight studies (three quantitative, three qualitative, one geographic mapping project, and a multi-methods program evaluation) focused primarily on welfare, adult education and training systems conducted as part of the Campaign for Self Sufficiency at the Institute for the Study of Civic Values. Milwaukee studies include the Neighborhood Settlement House Study, a multi-methods ethnography focusing on the impact of child welfare and welfare reform on a holistic social service agency, its program participants, and its surrounding community (including other organizations and churches) and the Milwaukee Interfaith Welfare Project, an ethnographic study of welfare reform in Milwaukee and the role of Milwaukee interfaith initiatives in this process. Kenosha research includes the Kenosha Conversation Project, a needs assessment of welfare reform implementation in Kenosha based on focus groups, interviews and participant observation in various social service agencies and government and the Kenosha Social Capital Project, a multi-methods ethnography on the relationship between the Latino and African American communities and the Kenosha social welfare and education system. Washington DC research comes primarily from data collected as part of the Religion and the New Immigrants Project, primarily interviews with social service agencies and analysis of a survey of faith communities serving new immigrants. I may also draw on experience translating research into practice initiatives at the National Cancer Institute.

Paper Number: PN042055.2

Paper Title: A Local Department of Social Services Wants to Work with the Local Religious Community: What Happens when an Elephant Proposed to a Fish?

Author(s):

Bob Wineburg, University of North Carolina at Greensboro, Greensboro, NC, USA

Summary of Research

This paper will report the results of a study assessing what it would take for one community's public department of social services to develop a long-term relationship with the community's white and black churches. The paper discusses the reality of planning partnerships between the local department of social services, an agency that has to provide mandated services, and the faith community whose nonprofit organizations and congregations provide services voluntarily. The paper also discusses the intricacies of community planning against the backdrop of President Bush's community intervention strategies surrounding his faith based initiative.

Description

This paper will report the results of a study assessing what it would take for one community's public department of social services to develop a long-term relationship with the community's white and black churches. This author did this study in collaboration with a community committee. The membership was comprised of: (1) a social worker and her assistant, both appointed by the director of the 600 employee department to represent the local public the department of social services; (2) a representative from an agency that serves the elderly and uses the religious community extensively, especially for congregate meal sites; (3) a representative from the county's Community Action Program, the only faith-based CAP in the US; (4) and the local urban ministry which has 250 of the community's 400 churches in its sphere. The paper discusses the reality of planning partnerships between the local department of social services, an agency that has to provide mandated services, and the faith community whose nonprofit organizations and congregations provide services voluntarily. The paper also discusses the intricacies of community planning against the backdrop of President Bush's community intervention strategies surrounding his faith based initiative.

Paper Number: PN042055.3

Paper Title: Serving the Hard to Employ: Models of Government/Non-profit Collaboration

Author(s):

David Campbell, University of California, Davis, Davis, CA, USA

Summary of Research

This paper uses field research and administrative data from California's Community and Faith-based Initiative to describe how hard to employ individuals are served by local workforce development systems, including government One-Stops, secular nonprofits, and faith-related organizations. It posits three models for how community based organizations relate to government—1) an alternative delivery system for individuals who are underserved or refuse service at One-Stops, 2) a source of remedial support and services that makes clients ready for the One-Stop; or 3) as active partners co-located at One-Stops or serving as a satellite service delivery center. Factors surrounding these options are explored.

Description

Serving the Hard-to-Employ: Models of Government/Nonprofit Collaboration This paper examines how hard-to-employ individuals are served by local workforce development systems, including government One-Stops, secular nonprofits, and faith-related organizations. It uses field research and analysis of administrative data to describe existing service dynamics in seven local workforce areas in California. Each local area is the home of one or more community and faith-based organizations that are being funded through the state of California's Community and Faith-based Initiative, run by the Employment Development Department. The analysis suggests three alternative models for thinking about the relationship of community and faith-based organizations to government—1) as an alternative delivery system for individuals who cannot or will not be served by One-Stops, 2) as a source of remedial help and support that prepares individuals to make use of One-Stop services, or 3) as active and equal partners that are either co-located at One-Stops or a satellite service delivery center for the One-Stop. Complex negotiations among particular individuals in local settings are necessary to determine which model provides the greatest benefits in particular cases. At stake is how to bring together the trust and cultural sensitivity that are strengths of many community-based groups with the substantial programmatic resources that One-Stops control.

Paper Number: PN042055.4

Paper Title: Exploring Government and Nongovernmental Relations in Comparative: Social Welfare Policy in the United States and the Netherlands

Author(s):

Joyce Keyes-Williams, Rockefeller Institute of Gov., Urban & Metropolitan Studies, University at Albany, SUNY, Albany, NY, USA

Summary of Research

This paper explores government-nonprofit relations in the Netherlands and the United States. At the outset, I offer a brief word about terminology. Next, I outline the features characterizing the relationships. Here, a distinction between the different forms of collaboration is established. Then, several factors that influence the relationships are highlighted including the different functional roles each sector plays, the impact of history, national traditions, and types of legal systems. Drawing from this contextual information, two case examples are compared and contrasted in light of the efforts to address the problem of substance abuse in each national setting.

Description

In *A Limited Partnership: The Politics of Religion, Welfare, and Social Service*, Robert Wineburg (2000) strongly proclaims that "devolution is the condition under which [social policy programs] are being sent from the federal government to the states and then are implemented at the local level based on the view that the individual and corresponding voluntary and religiously based set of services are the best vehicles to handle the problem of welfare and poverty" (p. 5). Likewise, in an edited volume by Elizabeth Boris and Eugene Steuerle (1999), entitled *Nonprofits & Government: Collaboration and Conflict*, Carol De Vita declares that as the "policy mantra of the 1990s resounded, a new era of devolution" occurred in which federal policymakers looked to all types of nongovernmental organizations (with the recent wave flowing towards faith-based organizations) "to build human, economic, and social capital necessary to bring about change" (p.216). In particular, she asserts that nonprofit human service providers (especially those serving low-income people) have been further drafted to help government agencies alleviate poverty by encouraging employment and strengthening families, all in hopes of reducing long-term welfare dependency.

Interestingly, Lester Salamon (1995) foretells this movement in his discussion about the nonprofit sector, in general, and the rise of a "third-party" government, in particular in his book, *Partners in Public Service: Government-Nonprofit Relations in the Modern Welfare State*. Although not explicitly stated, Salamon brilliantly predicts "privatization" and more broadly the trend towards devolution in the following statement: "a significant transformation has taken place in the way federal government goes about its business—a shift from direct to indirect or "third-party" government, from a situation in which the federal government ran its own programs to one in which it increasingly relies on a wide variety of "third parties"—states, cities, special districts, banks, hospitals, manufacturers—to carry out its purposes" (p.19). Moreover, Richard Nathan (2002) highlights the notion of "privatization" in his remarks about the faith-based initiative in a recent article, "Putting Public Faith and Hope in Private Charity," as he notes "non-profit groups provide most social services and community development programs. He asserts, "It's not privatization; it's non-profitization."

From this brief review of some current writings on the topic, one of the central issues underlying the notion of "devolution", and for that matter "privatization" appears to have to do with different views about the nature and role of the federal government in the welfare state—with the federal government, perhaps currently functioning as a sort of "broker" managing contracts, rather than providing direct service. Indeed, this concept is deeply rooted in the constitutional debates over federal versus state responsibilities in particular public policy areas. For instance, certain issues are noted as strictly federal responsibility such as national defense, while others related to, say, economic and housing development are viewed as better dealt with at the state level or in a more localized fashion. All in all, devolution has historical antecedents and remains an ongoing trend well into the twenty-first century. This backdrop serves as the larger context within which the "Charitable Choice" legislation and faith-based initiatives are situated.

Research Questions

Nevertheless, the relationships between government agencies and nonprofit organizations are different in a comparative framework. In fact, the guiding research question for the current paper specifically asks: What is the nature of the relationship between government agencies and not-for-profit organizations in another modern welfare state? In particular, what are the roles of the sectors in implementing social welfare programs in the Dutch system compared to the United States? How do the relationships function within a parliamentary legal system versus a federalism structure? What impact does the "Polder Model" have on the way in which the Dutch implement social welfare policy compared to the United States' approach to policy implementation?

Methods

In order to investigate the supposition that the government-nongovernmental relationships will take quite different collaborative forms which reflect the different cultural traditions, legal structures, and political histories, I selected a specific service area (i.e., substance abuse), in which two national programs (each recognized in the individual country as a "top notch" or successful approach to the issue) are compared and contrasted. I employ ethnographic methods (specifically, in-depth interviewing) to explore the abovementioned questions. (My trip to the Netherlands was completed in the Summer of 2002 as part of a study abroad program at the University at Albany, SUNY.)

Findings

Several factors (including the different cultural traditions, legal structures, and socio-political histories) complicate interpretations of the government-nongovernment relationships. Each will be discussed in further detail in the paper.

In light of the trend towards devolution (and some of the literature highlights a more global movement in modern welfare states), it is interesting to note that the type of collaboration in the case of the Netherlands falls under more of a "privatization" model, while the United States' collaborative approach is one of "contracting out." Both will be discussed in further detail in the actual paper.

Paper Number: PA041053

Paper Title: The Development of Citizen-organized environmental NGOs in China

Author(s):

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Leonard Ortolano, Stanford University, Stanford, CA, USA

Summary of Research

Citizen-organized environmental NGOs have surged in China since the early 1990s. By studying 24 such NGOs in Beijing and three provinces, this paper argues that this surge is indebted to three factors: a cultivating political environment, environmentally concerned elites, and international inducements. In practice, elite leaders of these NGOs have enabled their NGOs to conduct influential environmental campaigns. However, the elite origin of these NGOs and the fact that these NGOs have been heavily depending on international funds to sustain their independence from the state have distanced these NGOs from mobilizing local residents to fight against locally concerned environmental damages.

Description

Public participation in environmental sector has been promoted in China to supplement governments' inability to address environmental issues. A principle "every citizen is responsible for China's environmental quality" in environmental legislations empowers citizens to act against activities detrimental to the environment. Following this principle, many citizens have confronted pollution activities that have negative impacts on their quality of life or properties since the 1970s. However, unparallel to citizens' engagement in confronting local polluters, citizen-organized environmental NGOs did not emerge in China until the early 1990s. Based on evidence collected from 24 citizen-organized NGOs in Beijing and three provinces, this paper argues three key factors – a political environment open to NGO interventions, the participation of environmentally concerned elites, and international funding and technical supports available to citizen-organized NGOs – have shaped such a development of citizen-organized NGOs.

The first factor, a political environment that opens to NGO interventions is crucial to the development of NGOs in an authoritarian country like China. Here, an open political environment refers to two aspects of facts: the lax implemented state controls over NGOs, and the state policies that engaging environmental NGOs. Rhetorically, the Chinese government intended to control the development of NGOs in China through a set of complex registration and surveillance measures developed since 1988. However, in practice these control measures had been implemented as "registration control" as a result of decreasing state capacity, interests of agencies implementing state controls, and NGOs' self-censorship. As a result, registration control did create impediments for citizen-organized NGOs to register with civil affairs offices, the agencies in charge of NGO affairs in China, but it has tolerated citizen-organized NGOs to act without the state's interference as long as these NGOs were not identified as threats to either the state or state agencies per se. Moreover, in the environmental sector, environmental NGOs had been called by the state and the State Environmental Protection Administration to assist the state to improve the public's environmental awareness, to conduct community based environmental activities, and even to monitor the implementation of environmental policies at local levels. These engaging state policies had not only provided NGOs opportunities to work on environmental issues, but also endowed un-registered citizen-organized NGOs the legitimacy of acting in China. Other factors encouraging the participation

The second factor involves environmentally concerned elites. As of 2002, leaders of the 21 citizen-organized NGOs were working part-time in their NGOs. They were journalists (seven NGOs), university professors or researchers (six NGOs), officials (four NGOs), and others (four NGOs). For the remaining three NGOs, two NGOs had full-time leaders with study experiences in the US, and one NGO had a full-time leader who quit his journalist position. Moreover, at least leaders of 22 NGOs had at least four-year college education, while only 3 NGOs' leaders had educational backgrounds in environmental related

disciplines. On one hand, the elite status of leaders of the 24 environmental NGOs had enabled them to mobilize resources, organize effective activities, and reach government agencies to pursue their environmental goals. However, on the other hand, the elite origin of the 24 environmental NGOs kept these environmental NGOs from mobilizing local residents to direct confront acute environmental problems at local levels.

The third factor is closely linked with the first two factors. An open political environment had helped leaders of the 24 environmental NGOs to learn environmental and NGO norms from developed countries. In fact, some leaders of the 24 environmental NGOs have founded their NGOs after they learned the concept of NGO and environmentalism from their own experiences in developed countries while other leaders learned the operations of NGOs when they were working in international NGOs in China. Furthermore, an open political environment had allowed international funds and technical support to be channeled into China. As of 2002, at least five foreign governments had developed specific programs to improve organizational capacity of environmental NGOs in China. Similarly, by cooperating with China's environmental NGOs, many international foundations and environmental NGOs had provided funding and technical support to the 24 environmental NGOs. In a sense, the flood in of international funds for the majority of the 24 organizations had kept these NGOs from mobilizing domestic resources, and consequently distanced these NGOs from local residents and from local environmental concerns.

Paper Number: PA041062

Paper Title: The Impact of War on Civic Engagement: Japan in the Wake of World War II

Author(s):

Rieko Kage, Harvard University, Department of Government, Hyogo, Japan

Summary of Research

The recent US policy of intervening militarily in authoritarian states to promote democratization raises the important question of when and why such policies may succeed. Existing studies find a democratically-minded civil society to be a crucial precondition for successful democratization. This study examines the conditions under which such a civil society may develop through the case of the US occupation of Japan. Using quantitative analysis of original data as well as historical case-studies, I argue that the effects of democratization policies by victorious powers are contingent on the configuration of civil society prior to the war.

Description

How do major wars influence civic engagement? An influential line of work by Theda Skocpol and her associates argue the outcome of major wars – or victory or defeat – to be a crucial determinant of the levels of civic engagement in the decades subsequent to the war(1). The reasoning behind this view is one of social learning; while most modern wars require the extensive mobilization of civilians into the “home front,” defeat in major wars lead citizens of those countries to believe that cooperation during wartime had been futile, thereby discouraging subsequent participation, while by the same logic victory in major wars reinforces and bolsters participation after wars.

This argument, however, has thus far only been tested in a single country case: the U.S. The only case of defeat in Skocpol’s study, moreover, is the case of the American South in the Civil War. Defeat in civil wars, however, may have quite different effects from defeat in international wars. Original data that I have recently collected from the UK, Japan, and Germany reveal that civic engagement appears to have risen quite dramatically across both victor and vanquished countries following World War II. Why should wars invariably lead to a rise in civic engagement? This proposed paper seeks to explain this puzzle by examining the case of Japan between 1945-55.

The case of Japan between 1945-55 is especially significant for at least two reasons. First, the American occupation of Japan between 1945-52 is the ideal-typical case of successful national (re-)building, one which the current Bush Administration has held as a model for the possible democratization of Iraq. And part of Japan’s successful democratization arguably lies in the construction of a vibrant yet democratically-inclined Japanese civil society. At a practical level, then, an understanding of the factors behind this success case may yield particularly important contemporary policy implications as to how democratization may be successfully pursued in defeated societies such as Iraq or Afghanistan.

Second, Japan in the wake of World War II was not only defeated but also exhibits a confluence of other factors which should have further discouraged any rise in voluntary participation. Japanese defeat in World War II was both convincing and accompanied extensive physical destruction. In terms of housing destroyed, for instance, Japan far outnumbered both Germany and the Soviet Union. If Skocpol’s argument is valid, then Japanese citizens should have been particularly discouraged from voluntary participation after the war. While scholars have argued economic growth to be conducive to voluntary participation, economic recovery in Japan was slower than in other industrialized countries and did not pick up until 1955. While studies consistently find education to be the most reliable predictor of voluntary civic engagement, the education of many Japanese citizens was cut short by wartime mobilization. The fact that voluntary participation rose at all in Japan during this period, then, is especially surprising; and insights from this unexpected case should generate insights for other country-cases as well.

How can the dramatic postwar rise in Japanese civic engagement be explained? Part of this rise may undoubtedly be attributed to regime change, or the U.S. Occupation's policy of democratizing Japan. Liberalization of policies towards voluntary organizations and activities constituted an important part of this democratization. However, this is not the full story. This is because there was substantial variation across Japanese prefectures in the extent to which civic engagement rose in Japan during the initial decade after the war. Exploring the sources of this variation should yield important insights regarding the conditions under which civic engagement may grow or falter in the wake of defeat.

This proposed paper draws on both quantitative analysis and historical case studies to argue that the cross-prefectural variations in the rise of civic engagement in immediate postwar Japan are conditioned by path-dependency effects in crucial ways. Specifically, the rise in civic engagement was fastest in prefectures where levels of participation had already been high prior to the war, and vice versa. Quantitative analyses using data that I newly uncovered in Japan reveal levels of participation in 1936, and, to a lesser extent, that in 1922, to be significant predictors of levels of participation circa 1955. Historical process-tracing of case studies of voluntary associations in four different Japanese prefectures reveals that the experience of war substantially strengthened preexisting social networks, but those networks were strengthened to a greater extent in prefectures where horizontal networks were already strong prior to the war.

If Skocpol's argument is correct, civic engagement should have faltered most in prefectures where levels of wartime destruction had been highest. However, contrary to this prediction, I find that the effects of wartime destruction are in fact negligible and that the legacies of prewar civic activities exert a much stronger influence over the rise of civic engagement in the initial postwar period.

The evidence from Japan, then, indicates that defeat or victory in war per se is not the crucial determinant of the levels of civic engagement following major wars. At the most basic level, occupation policies may exert an important influence over civic engagement. However, the effects of those policies are mediated in crucial ways by the levels of participation that existed prior to defeat.

(1) Theda Skocpol et al, "Patriotic Partnerships: Why Great Wars Nourished American Civic Voluntarism," in Ira Kaznelson and Martin Shefter, *Shaped by War and Trade: International Influences on American Political Development*. Princeton: Princeton University Press, 2002.

Paper Number: PA041275

Paper Title: Potential analysis for the voluntary cultural year in Germany

Author(s):

Ines Hein, BirnkrauthHein arts and business consultants, Institut fuer Kultur- und Medienmanagement Hamburg, Hamburg, Germany

Summary of Research

Main findings of the potential analysis of the voluntary cultural year in Germany - a research conducted by the Institute for Arts and Media Management Hamburg, Germany in 2003/2004 supported by the Global Service Institute of Washington University, St. Louis. The voluntary cultural Year is a civic service in Germany for young people between 16 and 27

Description

Since 1964, the voluntary social year has existed in Germany. Young men and women between the ages of 16 and 27 can attend the service in social institutions on a voluntary basis. Since 2001, it is possible to spend a voluntary year in cultural institutions. The Institute for Arts and Media Management Hamburg just finished a potential analysis of this civic service. The research was conducted from October 2003 through March 2004 and over 1.200 young people and institutions were interviewed nationwide. The project was supported by the Global Service Institute, Washington University, St. Louis, USA with a grant by Ford Foundation. Interviewees were both parties the participating adolescents and cultural institutions as well as the young men and women, and institutions who did not take part in the service. For this sample six model cities in Germany were chosen. In these model cities over 800 adolescents from different backgrounds were interviewed as well as all existing cultural institutions. The research concentrates on the strength and weaknesses of voluntary service for the community. Important results are the profile of the young volunteers and the impact family, friends and society have with regards to volunteerism on the young people. A further important focus lies on the public image volunteerism has amongst adolescents and cultural institutions. In-depth interviews with political decision-makers in the six model cities complement the field survey. The mini plenary will give an overview over the research and its methods and will concentrate on the described main findings.

Paper Number: PA041316

Paper Title: NGOs: A Growing Force in Croatia

Author(s):

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David Shimkus, Academy for Educational Development, Zagreb, Croatia

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Summary of Research

NGOs: A Growing Force in Croatia

This paper reports on the growth and development of grassroots NGOs in Croatia, including their increased role in the country's Third Sector. It examines NGOs that are working in both urban and rural areas of Croatia with diverse constituencies. The analysis has been conducted along ten dimensions of organizational development: Participation, Leadership, Staffing, Structure, Goals and Objectives, Target Systems, Strategies and Tactics, Resources, Allies, and Communication Systems. Data has been collected through a variety of methods, including participant observation, nonrandom purposive interviews, focus groups, and written evaluations of meetings, events, and training workshops.

Description

NGOs: A Growing Force in Croatia

This paper reports on the growth and development of grassroots NGOs in Croatia, including their increased role in the country's emerging Third Sector. Case materials have been gathered through both a domestic NGO support center and an international organization supplying funding and educational development for Croatian nonprofits. The Center for Civil Initiatives (CCI) was founded in 1998 as an indigenous mechanism to provide training, consultation, technical assistance, and linkage to funding resources for local NGOs across the entire country. The Washington, D.C. based Academy for Educational Development offers funding through its CroNGO Small Grants Program, including Partners for Local Initiatives with regional responsibility to provide outreach, technical assistance, and community organizing for groups in local communities. The CCI and CroNGO have offered support to a wide range of grassroots NGOs, including those serving youth, women, refugees, returnees, roma (gypsies), people with disabilities, farmers, artists, neighborhood and village residents. Since 1991, Croatia has experienced a ruinous war, devastation of its physical infrastructure, occupation by paramilitary forces, economic crisis, political change, and social upheaval as hundreds of thousands of displaced people and refugees (including Serbs) have resettled in communities struggling to recover from the calamitous events of the previous decade. The transition to a market economy has not been smooth, with widespread high unemployment and decreases in the standard of living for all but a tiny percentage of the population. Immediately after the war, the ruling party refused to embrace democratic ideals, such as increased citizen involvement, community development, and open political debate.

The country's growing Third Sector has begun to develop within this hostile environment. Given the absence of a strong historical tradition of civic participation under a variety of totalitarian political regimes over the past century, as well as the current economic, social, and political conditions, the progress has been quite remarkable. While many of the early NGOs developed during the war years concentrated on emergency psycho-social services, new organizations have emerged to rebuild ravaged multi-ethnic communities, to respond to environmental concerns, and to begin designing programs associated with a more open, democratic society. NGOs have begun to address pressing systemic issues, such as economic development, employment, resettlement, and reconciliation. The current national government has welcomed many of these initiatives. At the local level, there are increasing municipal government-NGO partnerships for positive community projects, such as building playgrounds, repairing roads, rebuilding bridges, and renovating community centers. Volunteer

participation has been surprisingly strong in many of these efforts, indicating a high degree of community investment in and ownership of processes and programs (Mondros & Wilson, 1994; Gamble & Weil, 1995). The development of indigenous community leadership (Kieffer, 1984; Rubin & Rubin, 1992; Fisher, 1997) also has been a feature of many of these grassroots projects. These efforts have helped heal and revitalize the civic infrastructure by increasing social capital (Coleman, 1988) as community members work together to make concrete improvements in their lives (Putnam, 2000; Murphy & Cunningham, 2003).

This study examines NGOs that are working in both urban and rural areas of Croatia with diverse constituencies. The analysis has been conducted along ten dimensions of organizational development: Participation, Leadership, Staffing, Structure, Goals and Objectives, Target Systems, Strategies and Tactics, Resources, Allies, and Communication Systems (Staples, 2004). Data has been collected through a variety of methods, including participant observation, nonrandom purposive interviews, focus groups, and written evaluations of meetings, events, and training workshops. The study contributes to the growing literature on the important role that grassroots NGOs can play in the development of civil society, especially in countries making the transition to a market economy.

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Paper Number: PN042041

Paper Title: 21st Century Legal Norms in the Nonprofit Context

Author(s):

Dana Brakman Reiser, Brooklyn Law School, Brooklyn, NY, USA

Description

Along with a series of momentous national and international events in the first few years of the 21st Century, the dawn of the new century also has witnessed the emergence of various new legal norms. The experiences of the rise in technology, the collapse of corporate giants, and a loss of respect for government, industry and even the nonprofit sector, have resulted in a rise of legal norms valuing the transparency and financial accountability of organizations, the protection of individual privacy, and the core missions of society's most vital institutions and their fiduciaries. Like government and the business sector, nonprofit organizations have begun to become the target of reform efforts to pursue these norms. This panel will review and evaluate a series of nonprofit reform efforts addressed to the pursuit of these new norms.

Paper Number: PN042041.1

Paper Title: Modernising the Regulatory Framework For Charities: The UK Approach

Author(s):

Debra Morris, Cayman Islands Law School, Grand Cayman, CAYMAN ISLANDS

Summary of Research

This paper will consider the attempts in the UK to improve accountability within the charitable sector.

Description

One of the most important aspects of modern governance of any organisation, whether a charity, a commercial entity or a governmental department is the emphasis upon greater openness and accountability. This is partly a response to a breakdown of trust in government processes, which is evident, for example, in the intense media scrutiny of the decision to go to war with Iraq. It is also a response to the breakdown in trust in commercial governance and professional self regulation, as demonstrated, for example, by the collapses of Enron in the USA and what might yet be regarded as its European counterpart, Parmalat. The fact that many charities receive public subsidies in one form or another (from government funding, to funds raised from the public, through to reliance upon volunteers) makes it all the more important that they operate in a transparent manner. This paper will consider the attempts in the UK to improve accountability within the charitable sector.

In November 2003, the government announced in the Queen's speech that it will be publishing a draft Charities Bill to take forward its long-awaited review of charity law. The draft bill, which will "modernise charity law and better enable charities to prosper" is likely to contain a series of measures outlined by the government in July 2003. This was in response to the consultation document from the Prime Minister's Strategy Unit, published in September 2002, in which wide-ranging changes in the law and regulation of the charitable and wider not-for-profit sector were proposed. Following the announcement in the Queen's speech, Home Secretary David Blunkett said that the draft Charities Bill "would reform the framework in which charities operate enabling them to thrive, grow and realise their potential."

Professor Morris will focus on two of the main aims of the 2002 consultation document: developing greater accountability and transparency to build trust in the sector; and, maintaining that trust by independent, open and proportionate regulation. She will question whether the proposed reforms are necessary and whether they will achieve the two aims outlined above.

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Strategy Unit, Private Action, Public Benefit. A Review of Charities and the Wider Not-For-Profit Sector, September 2002

Home Office, Charities and Not-for-Profits: A Modern Legal Framework. The Government's Response to 'Private Action, Public Benefit', July 2003

Queen's Speech, 26 November 2003

"Home Secretary Outlines his Agenda for the Next Parliamentary Session" Reference: 323/2003, 26 November 2003

Paper Number: PN042041.2

Paper Title: Why Shouldn't the FTC's Do-Not-Call List Apply to Nonprofits?

Author(s):

Norman Silber, Hofstra University, Hempstead, NY, USA

Summary of Research

This paper will consider the current exemption of solicitations by nonprofits from the FTC's do-not-call registry program.

Description

Congress passed the Telemarketing Consumer Fraud and Abuse Prevention Act ("TCFAPA") in 1994 in reaction to mounting public concern about unwarranted privacy intrusion and abusive telemarketing practices by marketers. The Act granted the FTC broad rule making authority, and provided the mandate that the FTC "prescribe rules prohibiting deceptive telemarketing acts or practices and other abusive telemarketing acts or practices." Almost a year after the passing of TCFAPA, the FTC created the Telemarketing Sales Rule ("TCR") which, as later amended, adopted a national do-not-call registry for commercial telemarketers.

While the do-not-call registry is comprehensive in its protection against invasive calls from commercial solicitors, the FTC has not offered the same protection from non-profit organizations soliciting donations. The exemption of tax-exempt organizations from the Telemarketing Sales Rule has survived court challenges, principally because under the constitutionally appropriate test, courts have upheld a "rational basis" for permitting the exemption. But beyond the legality of exempting them there lies the question of normative value. Why, exactly, shouldn't nonprofit marketers need to live within the FTC's consumer protective regime? Professor Silber will explore the logic and theory which would justify eliminating the exemption as a matter of contract law, consumer protection law, and privacy law.

Paper Number: PN042041.3

Paper Title: Improving Charitable Accountability through Changing Norms

Author(s):

James J. Fishman, Pace University, White Plains, NY, USA

Summary of Research

This paper will address changing norms and charitable accountability.

Description

Professor Fishman will discuss the role of norms in the behavior of nonprofit fiduciaries. Drawing on the example of federal intermediate sanctions legislation, which applies monetary penalties to nonprofit insiders, including fiduciaries, who engage in transactions with their nonprofits in which the insiders receive excess benefits. He views this legislation as demonstrating a change in fiduciary norms, though an inefficient one.

Paper Number: PA041132

Paper Title: Policy Windows, Attention Structures, and Responsiveness in Nonprofit Organizations: A Stakeholder Saliency Approach

Author(s):

Chao Guo, Arizona State University, Tempe, AZ, USA

Summary of Research

This study introduces a stakeholder saliency approach to responsiveness in nonprofit organizations, and contends that nonprofit managers prioritize competing stakeholder claims based on their saliency levels, which in turn are determined by “policy windows” and organizational attention structures. Attention structures help institutionalize dominant stakeholders’ power and legitimacy. Predictable policy windows further enhance the saliency of dominant stakeholders by consistently reinforcing the existing attention structures, whereas unpredictable policy windows increase the saliency of “politically disadvantaged” stakeholders by transforming the urgency of the situations into the power and legitimacy of these stakeholders. A case study is conducted to illustrate this approach.

Description

Responsiveness to popular preferences is one of the fundamental values of democratic societies, and is accepted as a principle in the design and operation of public sector organizations (Behn, 2001; Ospina, Diaz, & O’Sullivan, 2002; Romzek, 1996; Rourke, 1992). In the context of nonprofit organizations, along with the increasing acknowledgement of their multiple-constituency nature (Kanter & Summers, 1987; Ott, 2001) and call for a broader definition of organizational performance that takes into consideration the competing interests of different stakeholders or constituencies (Bradshaw, Murray, & Wolpin, 1992; Kaplan, 2001; Martin, 1988), recent studies have begun to regard stakeholder responsiveness as an important indicator of nonprofit effectiveness (Herman & Renz, 2003) and accountability (Kearn, 1996).

Despite its normative and practical importance, there has been relatively little systematic research on the issue of responsiveness in nonprofit organizations (for exceptions, see Barrett, 2001; Berry, Portney, & Thomson, 1993; Gittel & Covington, 1998; Swindell, 2000; Tourginy & Miller, 1981). In particular, the meager existing research says little about the processes and mechanisms through which nonprofit managers prioritize the claims of their multiple stakeholders (Brudney & Rodriguez, 2003; Tschirhart, 1996). How does a nonprofit organization respond to the needs of its stakeholders and concerns of the larger community? Why does a nonprofit organization attend to certain stakeholder claims but ignore others? These questions are largely left unanswered by previous work.

This study fills this gap by introducing a stakeholder saliency approach to responsiveness in nonprofit organizations. Drawing upon the power-legitimacy-urgency model of stakeholder saliency (Mitchell, Agle, & Wood, 1997), the garbage can model of organizational decision-making (Cohen, March, & Olsen, 1972; Kingdon, 1984), and the attention-based view of firms (Ocasio, 1996) and extending them to the nonprofit sector context, it contends that nonprofit managers prioritize competing stakeholder claims based on their saliency levels, which in turn are jointly determined by “policy windows” and organizational attention structures.

More specifically, we make the following central arguments: 1) The saliency of a stakeholder is determined by its possession of one, two, or all three of the attributes – power, legitimacy, and urgency – as perceived by nonprofit managers. Seven stakeholder types are then classified and ranked under three saliency categories: low, moderate, and high saliency. 2) The perceived power and legitimacy of the stakeholder and the urgency of the stakeholder claim are jointly determined by organizational attention structures and two different types of policy windows, namely predictable policy windows and unpredictable policy windows. 3) Organizational attention structures help nonprofit managers identify dominant stakeholders based on their perceived power and legitimacy, and serve to institutionalize the

relationship between the organization and these moderate-salience stakeholders. 4) Both types of policy windows can influence stakeholder salience by creating a sense of urgency, but their effects on a particular stakeholder differ in other dimensions. Predictable policy windows (e.g., funding opportunities for a given nonprofit organization) tend to move dominant stakeholders to the high salience category by consistently reinforcing the existing organizational attention structures; by contrast, unpredictable policy windows (e.g., focusing events such as crises and disasters) provide opportunities for those low-salience, “politically disadvantaged” stakeholders to present their issues to the organization, and tend to increase their salience by transforming the urgency of the situations into the power and legitimacy of these stakeholders.

An embedded case study (i.e., a case study with multiple units of analysis) of a community-based nonprofit organization is conducted to illustrate this stakeholder salience approach to responsiveness in nonprofit organizations. The study concludes with a discussion of case findings, theory and policy implications, and the directions for future research.

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Paper Number: PA041259

Paper Title: The Practice of the Commons

Author(s):

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Summary of Research

This paper is an effort to lay out elements of a language-based, agentic model of practice for nonprofit organizations, voluntary action and philanthropy.

In *The Commons* (J-B, 1992; NVSQ, 1992), Lohmann laid out a conceptual model of an independent sector called the Commons. One of the questions raised by this approach has been the practice issue: This is all well and good, practitioners would say, but what do we do to create or sustain such a commons? What are the practice implications?

This paper will seek to incorporate recent developments into a coherent model of practice in the commons.

Description

This paper is an effort to lay out elements of a language-based, agentic model of practice for nonprofit organizations, voluntary action and philanthropy.

In *The Commons* (J-B, 1992; NVSQ, 1992), Lohmann laid out a conceptual model of an ideal type of independent sector that he called the Commons. One of the persistent questions raised by the approach taken there was the practice issue: This is all well and good, social work colleagues and other practitioners would say, but what do we do to create or sustain such a commons? What are the practice implications?

This paper will seek to incorporate recent developments into a coherent model of practice in the commons.

The first response is: Well, isn't it obvious, but then clearly it wasn't. Only gradually did it become clear that the question itself signals a broad gulf in contemporary social science: the gap between the positivistic, linear, instrumental, cause-effect scientific approach of what Giddens calls the structural perspective and others call positivism on the one hand and the process-oriented, agentic, non-linear, language-based, hermeneutic approach from which the model of the commons was constructed.

The confusion was only enhanced, it is now clear, because of Lohmann's deliberate efforts to embrace, and ultimately coopt, the rational choice model, and because of repeated efforts to extensively cite the structural oriented research in nonprofit studies to support what is basically a qualitative, non-linear, holistic, non-structuralist, agentic view of the third sector.

Since the early 1990s, a vast new conceptual armamentarium has become available with which to better approach this matter. Giddens' distinction between the structuralist and agentic views and Habermas' distinction of "the system" (what we in the sixties called "the establishment") of state and market economy and "the lifeworld – which is already incorporated in *The Commons*. David Billis, Jon Van Til, Anthony Giddens, Benjamin Barber, Robert Putnam and others have all made important contributions useful for extending the common goods model of non-instrumental rational practice.

Paper Number: PA041355

Paper Title: The Rise of Participatory Society: Challenges for the Nonprofit Sector

Author(s):

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Summary of Research

Over the past several decades, a web of technological, economic and socio-demographic forces of social change have been busy laying the groundwork upon which participatory structures and processes can feasibly thrive. I argue that the confluence of these forces is triggering a structural adjustment that will wipe away the incongruity between the organizational decision-making structures that are currently predominant and the new underlying structural conditions — thus ushering in the era of Participatory Society. I outline the origins, evidence and key implications of this transformation for nonprofit organizations, for the broader civil society sector, and for nonprofit management education.

Description

That the Twentieth Century was an era of profound social, economic, and political transformation is now easily recognizable. What is not so apparent are the changes that are still rapidly occurring. One of the most important still-undergoing revolutions is the increasing call for participation by stakeholders in key decision-making processes throughout the business, government and not-for-profit sectors. A Participatory Society is on the horizon.

In the cultural sphere, people now create and publish their own books, movies and music, they customize orders on most restaurant meals, and blogging and other forms of “targeted media” have replaced mass media on the Internet and other forms of computer-mediated communications. In the world of business, shareholder revolts have skyrocketed, stock ownership has steadily increased, organizational structures have flattened, and corporate democracy is beginning to take hold. In the civil society sector, participatory evaluation techniques have gained in popularity, the push for greater accountability has led grantmakers and donors to have a greater say in program management and outcomes, and the Guidestar web site allows anyone easily accessible financial information on most mid- and large-sized charitable organizations throughout the country. In government, sunshine laws, devolution of power, shared decision-making, and citizen satisfaction surveys are becoming ever more commonplace. And in the realm of politics, key elements of “direct democracy,” including citizen ballot initiatives, recalls, all-mail ballots, open primaries, campaign contribution limits, and supermajority and voter-approval rules for tax increases have all become increasingly popular.

What is behind this push for participation? A confluence of structural changes — technological, economic, cultural, and socio-demographic — have over the past several decades been setting the stage for this transformation. Instead of arriving in a steady drip, social change tends to come in waves, especially when the growing de-alignment between underlying structural conditions and extant social, political and organizational realities forces a “structural adjustment” that brings the two back into alignment. I contend that we are on the verge of just such a re-alignment now — one that will usher in a Participatory Society.

Both the growing demand for participation and the ever-increasing amount of actual participatory processes will transform predominant social, political, and organizational structures. The challenges for anyone in a position of power in public, private, and nonprofit organizations will be significant. It will be necessary to devolve decision-making authority to a broader and broader group of stakeholders - the “organizational selectorate” will effectively widen and deepen. In the end, just as the Twentieth Century saw government and civil society change to incorporate a mobilized populace, the Twenty-First will see it adapt to a participatory populace.

In this paper I will provide an overview of the meaning and causes of this transformation and lay out its

implications for the nonprofit sector. Though the sector as a whole will be improved through this broadening and deepening of the selectorate, a critical challenge for nonprofit management programs will be to prepare graduates to lead and succeed in this participatory environment.

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Paper Number: PA041359

Paper Title: Can Modern Stakeholder Theory Contribute to the Theory of the Nonprofit Organizations?

Author(s):

Gerhard Speckbacher, Vienna University of Economics, Vienna, AUSTRIA

Summary of Research

Modern Stakeholder Theory has evolved from a metaphorical concept to a set of theory based concepts which are of growing importance for a better understanding of the nature of different organizational forms. We review descriptive, normative, instrumental and managerial stakeholder approaches and evaluate their contribution to the theory of nonprofit organizations. In particular, we focus on the comparison of for profit and nonprofit organizations with respect to governance and management issues and we highlight possible "comparative advantages" of nonprofits from the perspective of stakeholder theory.

Description

Modern Stakeholder Theory has evolved from a metaphorical concept to a set of theory based concepts which are of growing importance for a better understanding of the nature of different organizational forms. Typically three "classical" approaches to stakeholder theory are distinguished: normative, descriptive and instrumental stakeholder theory. Besides these three classical approaches managerial theories are of growing importance. At the same time, stakeholder theory is more and more influenced by economic theories like contract theory, agency theory and transaction cost theory. Moreover, dynamic stakeholder approaches and approaches which rank stakeholders with respect to different criteria have been developed recently. All these approaches are mainly applied to profit seeking firms in order to describe alternative corporate governance mechanisms, to discuss ethical issues and to give advice to corporate managers.

This paper tries to make use of these recently developed theories with respect to nonprofit organizations. While we also discuss normative and descriptive theories, we focus mainly on instrumental and managerial stakeholder theories using an economic approach. In particular, we use economic theories in order to give a precise definition of stakeholders in nonprofits and to analyze the role of different stakeholders with respect to the governance of nonprofits and with respect to management tasks.

More specifically, we use stakeholder theory in order to specify circumstances which imply that the nonprofit character of organizations is advantageous compared to a profit-seeking character. Moreover, we analyze which factors influence the endurance of a nonprofit organization. We argue that ownership (of physical assets) plays this role in profit seeking firm while other mechanisms are needed in nonprofits to "keep the organization together".

Our analysis leads to some interesting implications for the management of nonprofit organizations. In particular, we develop criteria how nonprofit organizations can determine their "prior" stakeholders and we suggest a way to determine the organizations primary objectives. Moreover we discuss the important question who should determine the organization's strategy and who should decide about strategic tradeoffs (i.e. what to do and what not to do). This is a necessary precondition for the development of effective strategic performance management systems in nonprofits (e.g. like the Balanced Scorecard). Moreover, we show that stakeholder theory offers an answer to the question who is accountable to whom in a particular nonprofit organization which is again important for designing effective internal and external reporting systems.

The paper ends with the thesis that modern firms which are based more and more on intangible assets tend to show many features (in particular with respect to governance and performance management issues) which are traditionally seen to be characteristic for nonprofits. This offers new possibilities how nonprofits and profit seeking firms can learn from each other e.g. with respect to governance issues

and performance management systems. Again our principal arguments are derived from the stakeholder theories developed in the first part of the paper and we try to make clear the concrete implications for an effective governance and management of nonprofits.

Paper Number: PA041140

Paper Title: Disparities in Nonprofit Philanthropic Revenue across San Francisco Communities

Author(s):

Laurie E Paarlberg, San Francisco State University, San Francisco, CA, USA

Summary of Research

This paper explores how differences in funding characteristics of San Francisco nonprofits are related to neighborhood socio-economic characteristics of the communities in which they are located. Given the looming budget crises in California governments and declines in private philanthropic given, questions of resource and capacity disparities of nonprofits operating in diverse communities become even more important. Drawing upon organizational data from the IRS core files and demographic data from the 2000 Census, I use hierarchical linear modeling, HLM, (Raudenbush, 2002) to explore the complex statistical relationships between organizational characteristics and the characteristics of the communities in which organizations are located.

Description

This paper explores how differences in the funding characteristics of San Francisco nonprofits are related to neighborhood socio-economic characteristics of the communities in which organizations are located. There has been long standing concern that as government increasingly relies on nonprofit social and human service organizations to deliver public services, that the nonprofit organizations located in those communities with the greatest social needs are also the organizations that have the least capacity to meet those needs. Given the looming budget crises in California government and changing patterns in philanthropic giving, the questions of resource and capacity disparities become even more important.

One factor that strongly influences nonprofit capacity is their ability to access financial resources—in particular philanthropic funding, which on average accounts for 20% of total nonprofit revenue (<http://www.independentsector.org/PDFs/inbrief.pdf>). There has long been concern that philanthropic resources may be inequitably disbursed across communities (Wolch and Geiger, 1983). On a local level these disparities may result of from idiosyncratic giving practices among philanthropic givers (Grønbjerg, Martell and Paarlberg, 2000; Grønbjerg and Paarlberg, 2000), differing customs of giving across communities of color (Smith, Shue, Vest, Villarreal, 1999), or even the social resources that are important in securing philanthropic donations. Although there is conjecture about how these patterns might translate into local resource acquisition, to date the only research in this field has been descriptive or has focused on regional level data. We have little understanding of how nonprofits' ability to secure philanthropic resources is related to the socio-economic characteristics of the communities in which the organizations are located.

In this paper I explore how the traditional organizational-level relationships, such as the relationship between field of activity and organizational age and philanthropic characteristics, are influenced by the socio-economic characteristics of the communities in which they are located. I use hierarchical linear modeling, HLM, (Raudenbush, 2002) to explore the complex statistical relationships between organizational characteristics and the characteristics of the communities in which organizations are located. Data for this analysis comes from the IRS core files and 2000 Census data.

Paper Number: PA041216

Paper Title: “Just-In-Time Information”: Defining and Assessing Knowledge & Information Services for Nonprofits

Author(s):

Marcia Schmitz, Center for Nonprofit Management, Los Angeles, USA

Peter Manzo, Center for Nonprofit Management, Los Angeles, CA, USA

Monique Sugimoto, Center for Nonprofit Management, Los Angeles, USA

Summary of Research

This paper will present and analyze the results of: (1) a literature review of prior research regarding management information services and assistance to nonprofit organizations, drawn from (a) literature of the discipline of library and information science pertaining to information needs of nonprofits, and (b) literature on nonprofit management and capacity building; and (2) an original national scan and survey of intermediary organizations assessing the availability of free or accessible management information services for nonprofits and the quality of those services and providers. The paper will conclude with questions and hypotheses for future research and testing.

Description

Accurate information is essential to the success of any organization, whether nonprofit or for-profit. It can be very difficult, time consuming and expensive, however, for nonprofit organizations to find, sort and evaluate relevant information on nonprofit management issues, sources of funding, or demographic, economic and policy trends, for example. Further, with such heavy demands on staff time in today’s increasingly fast-paced world, the timeliness of information has become a crucial factor distinct from the barriers of expense and expertise. Staff typically cannot be expected to become expert in several broad areas of management, but rather, they need access to “just-in-time” knowledge and information that will enable them to learn and apply what they need when they need it.

Often these information needs arise during true emergencies and crises, such as a concern over how to handle an apparent conflict of interest or urgent personnel problem. In most such cases, nonprofit managers seek guidance because they are at a point where they feel the need to take action. As a result, knowledge and information services can have a significant impact, even though a half-hour telephone conversation may otherwise seem a superficial engagement. In that light, to appropriately provide such knowledge and information to nonprofit managers is a high responsibility that demands the substantive knowledge and excellent judgment of experienced professionals.

Our focus is on the information seeking behavior of nonprofit leaders trying to make informed management decisions in the most effective and efficient way. Our thesis is that the purpose and time horizon involved make information services distinct from training (which may not occur at a convenient time or place, and may not actually be used until much later) and from consulting (which involves time and care in preparing the scope of a consulting engagement, a process for defining the issue, gathering data and analyzing it, and a deliberative process for selecting next steps). Our aim is to help define the kinds of assistance nonprofit leaders, like their counterparts in the private sector, look for when making a tactical or implementation decision in the course of business, or to learn more about their competitive environment, and for which reading a book, taking a training or going through a consulting engagement would be inefficient.

In this context, nonprofit leaders often seek more than just information, they want analysis and evaluation of the best knowledge on a particular topic. This requires judgment that no search engine can make. A recent Pew Partnership for Civic Change (2000) analysis concluded that leaders of nonprofit organizations want information about management, particularly organizational development, that has been pre-sorted for relevance, and is delivered in a way that does not take precious time away from running their organizations. The technology they use most is e-mail, and they like to receive information from a trusted source, with the option of personal contact. Findings included the following

key points:

- The day-to-day realities of running a community-based organization make it extremely challenging for nonprofit leaders and their staffs and boards to tap into and use the vast array of information that is now available to them from an ever-growing range of sources.
- E-mail was the top use of the Internet for nonprofit leaders, with research a distant second. Regarding Web searching, their time on-line has been frustrating and less than satisfying. As one practitioner said regarding Web searches, "That line about 'it's a million miles wide and a foot deep,' is the hassle. Looking through it sometimes is the pain."
- Nonprofits see a role for a knowledge broker – defined by nonprofit leaders as individuals or groups who take on the responsibility of sifting through the information flood and finding the most relevant and credible pieces for their organizations.

Most nonprofit organizations, and particularly small and moderate budget organizations, do not have in-house library and research resources. This is in contrast to large for-profit businesses, which increasingly maintain in-house libraries or contract with expert researchers. Further, nonprofits will not easily find knowledge and information assistance in the outside world. Even small businesses can access specialized business sections in newspapers, and the public libraries provide access to and training in the business databases available at public libraries and/or on Web sites. In the business sector, billions of dollars of effort go into collecting critical information and analysis and aggressively marketing it to business executives to support their management decisions. Unfortunately, there is no comparable industry of information services for the nonprofit sector to inform and improve management decisions, monitor and evaluate performance.

While there are few, if any, services like Dun & Bradstreet, Bloomberg, or other investment analyst or market research firms seeking to market information and analysis for nonprofits on a broad basis (distinguished, again, from the diffuse army of independent and boutique consulting providers), there is a wealth of information available to nonprofit organizations via the Internet. Hundreds of Web sites across the country provide pieces of information, usually tailored to the site sponsor's particular focus, be it fundraising, board development, volunteer management and the like. To be useful, people must know about these resources and their (setting aside, just for the moment, the issue of accessibility for community-based organizations). Moreover, it can be very daunting and time-consuming to try to sort through an ocean of data to find truly useful, reliable information. To quote an often-used analogy, finding information on the Web can be like trying to drink from a firehose.

Our paper will present a review of literature describing the information needs of nonprofit organizations, such as the Pew study referenced above, to outline the context in which organizations seeking to support nonprofits aim to meet those information needs. The paper will then turn to analysis of the results of a scan and survey we are currently conducting of the information services practices of nonprofit intermediary or support organizations, such as community foundations, university nonprofit centers, national, state and local associations of nonprofits, and management support organizations ("intermediary support organizations"). The scan and survey will be supplemented by interviews with information services professionals in the field, such as members of the Foundation Library Consortium, members of the Foundation Center Cooperating Collections, members of the Alliance for Nonprofit Management and the California Management Assistance Partnership, and others knowledgeable in this area.

A key thesis we will test is, as described above, that information services responds to a different kind of information seeking behavior than consulting or training. Another assumption we want to test is whether information services programs are viewed as integral to the mission of intermediary organizations providing these services. It may well be providers are simply responding to requests for help, and that there are often no policies and procedures that govern the management of these activities.

To define the range of approaches to information services, and assess the capacity of the providers, we will (1) collect data on the training and experience of information services staff at intermediary

organizations; (2) capture the intermediary's rationale for why they provide such services and how that informs the way they structure their services; and (3) discuss how the varying skills and experience of the information services staff may affect the quality of the assistance provided. Our scan, survey and interviews will gather information on:

- What kind of requests for information do they receive? What are the most common subjects?
- The range of levels of experience, training, and education of information services staff.
- Whether, and how well, provider organizations train staff in:
 - how to handle inquiries (what a person asks for may not be the information they actually want or need)
 - how to evaluate information (knows and uses standard criteria for evaluating source, relevancy, date,...)
 - how to manage information (creates systems for collecting and reusing information for future use, ...)
 - knows best practices in quality control of information (e.g., assessment of source, currency, quality of content)

The survey and interview results will inform conclusions and suggestions about the following questions:

- How are information services activities structured and managed?
- What information is collected by information services staff? To answer what questions? How is the data used? What would information services managers like to improve the way they collect and evaluate data?
- How do IS programs evaluate themselves in order to justify the free services that they provide? Measure effectiveness of those free services?
- How may the client's experience be different between talking to an experienced professional vs. getting information for themselves through the Internet?
- What is the perceived value of an information professional to clients, funders, board, management?
- If a support organization is or is not treating information services as a distinct program, what is the rationale for that approach?
- If there are perceived benefits to treating information services as a distinct service program, what are those?
- What standards could be created and encouraged for all information services providers to adopt?
- Are there professional or networking groups for information services staff?

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Paper Number: PA041356

Paper Title: Organizational Capacity: The importance of financial, human and intellectual capital

Author(s):

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Summary of Research

The proposed paper introduces a conceptual model of nonprofit organizational capacity that views organizational capacity to be the product of an organization's ability to deploy a variety of types of capital (e.g., financial, human resources, and intellectual). The utility of the model will be illustrated using data from Canada's National Survey of Nonprofit and Voluntary Organizations and implications of the model for efforts to build capacity will be discussed.

Description

Nonprofit organizations vary substantially in their capacity to deliver services and programs and there is substantial interest in how to build or improve their capacity to do so. The proposed paper introduces a conceptual model of nonprofit organizational capacity that has been developed to help guide efforts to strengthen the capacity of nonprofit organizations (Hall, et. al. 2003). The utility of the model will be illustrated using data from Canada's National Survey of Nonprofit and Voluntary Organizations (NSNVO). The NSNVO was conducted in 2003 and employs a representative survey of 14,000 incorporated Canadian nonprofit organizations and registered charities.

Our research suggests that it may be useful to conceptualize overall organizational capacity as the product of an organization's ability to deploy different types of capital (e.g., financial, human resources, and intellectual). An organization's ability to develop or maintain these different types of capital depends, in turn, upon a variety of external factors such as the economy, the legal and regulatory framework in which it operates, and the availability of human and financial resources.

Organizations can deliver similar services while relying on entirely different types of capital. For example, one organization providing a "meals on wheels" program may do so by drawing on its ability to access financial capital (e.g., money to pay staff) while another may do so by drawing on its ability to access human capital (e.g., to recruit and deploy volunteers). Understanding the specific types of capital that an organization relies upon is essential to understanding the organization's overall capacity to pursue its mission.

The paper presents a model of nonprofit organizational capacity that has been adapted from the work of Edvinsson & Malone (1997), and Roos et al. (1998) on intellectual capital and that of Nadler, Gerstein, & Shaw (1992) on organizational design. It is grounded in the literature on organizational effectiveness (e.g., Campbell, 1977), and the resource-based view of the organization that recognizes the importance of both tangible and intangible resources (e.g., Barney, 1991; Hitt, Bierman, Shimizu, & Kochhar, 2001). As such, it offers an alternative (cf., De Vita, Fleming, & Twombly, 2001; UNDP, 1998) and useful perspective for efforts to build the capacity of nonprofit organizations.

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Paper Number: PA041367

Paper Title: Geography of Social Service Organizations in Northern California

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Summary of Research

This paper will examine the geography of the nonprofit social service providers in 13 Northern California counties, focusing on the nonprofits' response to changing social needs. The counties chosen for analysis illustrate many of the statewide changes in population geography and demographics. The presentation will combine simple spatial analysis through GIS mapping with statistical analysis to compare the influence of several measures of social need. The findings will contribute to a burgeoning literature analyzing the geography of the nonprofit sector.

Description

California experienced significant demographic changes in the last decade of the 20th Century, particularly in Northern California. These kinds of changes have implications for nonprofit organizations, both in terms of their service provision and the resources they need to provide the services. Though it has long been understood that nonprofit organizations serve their local communities (Wolpert 1993, Bielefeld and Murdoch, forthcoming), researchers interested in the nonprofit sector have only recently focused on documenting the spatial relationship of nonprofit organizations to community factors. Analysis about how equitably the resources of the sector are distributed, particularly in relation to underserved communities, is important because of two trends: dramatic demographic changes in California documented by the 2000 Census, and government devolution which outsources critical social services to nonprofit organizations.

Prior research on have examined several important factors for understanding nonprofit sector geography. Bielefeld, Murdoch, and Waddell (1997) examined the distance of education and social service nonprofits to areas of social needs and resources in Dallas County, TX. Their findings confirm that nonprofits are most responsive to local conditions. In a follow up paper, Bielefeld and Murdoch (forthcoming) illustrate that proximity of other organizations also plays a role in determining location. In a study of social service nonprofits in Southern California, Joassart-Marcelli and Wolch (2003) find that organizations are more likely to be found in older cities with greater government spending on poverty issues and wealthier populations.

This paper will contribute to the field by expanding the number of places where nonprofit geography has been analyzed and by considering how the sector responds to changing social conditions. The research will focus on the San Francisco Bay Area and the Sacramento Metro Area, two regions straddling the inland/coastal divide of California which is becoming a new dichotomy to understand the state. The majority of Californians live in coastal regions, but the inland regions are now experiencing larger rates of growth, reflecting their increasing importance as places with affordable housing (Johnson, 2002).

This research will rely on secondary data from two sources. Changing community demographics described by variables in US Census data. Variables of interest for social need are: Poverty levels, foreign born population, native non-white population, and new residential development. Data on nonprofit organizations is from an administrative data file known as the Core File, based on information from the IRS provided the National Center for Charitable Statistics (NCCS). Organizations providing social services will be chosen based on NTEE codes. The analysis will consider nonprofit resources at the city level.

Joassart-Marcelli and Wolch (2003) discuss the problem of inaccurate addresses in the IRS/NCCS data, noting that IRS studies estimate up to 27% of the addresses in their files may be incorrect. To

handle this problem I will compare the address provided by the IRS with data from two additional files maintained by state agencies, the listing of incorporated entities from the CA Secretary of State, and the Registry of Charitable Trusts from the Attorney General's Office. These comparisons will focus on making sure that there is a match on the address city.

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Paper Number: PA041246

Paper Title: Reconciling Religious Giving

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Summary of Research

Giving to religion is 35% of total giving (Giving USA 2003) and 45% of individual giving (Center on Philanthropy Panel Study, or COPPS). The Ronvalles (2001, empty tomb) and Chaves (1999) have speculated that Giving USA vastly overstates the actual amounts going to religious organizations. This presentation explains three separate methods for estimating giving to religion, proposes a new “base line” for giving to religion for Giving USA, and identifies areas for further research.

Description

Historically, giving to religious organizations has comprised by far the largest share of total giving (35 percent, Giving USA 2003) and individual giving (45 percent, Center on Philanthropy Panel Study, or COPPS). However, the Ronvalles (2001, empty tomb) and Chaves (1999) have speculated that the estimates from Giving USA vastly overstate the actual amounts going to religious organizations. These claims are given regular coverage in the mainstream media. Hence, it is important to the credibility of Giving USA (GUSA) to try to confirm its estimates (or to find a new methodology).

Methods

This paper compares the traditional estimates from GUSA to two alternative estimates. First, Joseph Claude Harris has compiled an exhaustive list of estimates of religious giving from all of the major denominations and has imputed estimates for the others. Second, we have used the COPPS data to estimate household giving to religious organizations. We supplement this information with estimates of giving to religious organizations by foundations with data from the Foundation Center about grantmaking by private and community foundations and giving to religion using data about corporate foundation grantmaking, also from the Foundation Center.

Findings

Perhaps surprisingly, we found all three sets of estimates to be within seven percent of one another. The GUSA estimate is the lowest of the three estimates. The triangulation of three disparate methodologies to estimates that are within seven percent of one another suggests – but cannot prove – that the results in GUSA are probably more or less accurate. Finally, it seems highly unlikely that all three of these very different methodologies would all seem to approximate the same estimate AND that these estimates would all substantially over-estimate the actual amounts.

Conclusion

This presentation explains three separate methods for estimating giving to religion, proposes a new “base line” for giving to religion for Giving USA, and identifies areas for further research.

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Paper Number: PA041314

Paper Title: The effects of charity reputation on charity giving

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Summary of Research

This study focuses on the effects of NGO reputation on charity donations. It is expected that the reputation of an NGO will be an important antecedent for the decision to donate money, since the 'product' of the NGO is its promise to devote itself to its goal, whether that is to save the nature or to protect human rights. The study will use survey data of the 'Giving in the Netherlands project' that will be gathered in May 2004. The respondents consist of a representative sample of the Dutch population.

Description

The charity sector does not only fulfill an important social role, but also an important economical role. The Dutch households and corporations donated together in the Netherlands in 2001 approximately 4.334 billion Euros, of which 1.753 billion Euros came from the households (Schuyt, 2003, p. 10). The importance of charity reputation to gather these contributions was clearly visible in the case of Foster Parents. This charity organization decided in 2002 to change its name in Plan Nederland due to the loss of ten thousands of donors after it was made public that interim manager Pagano earned eighteen thousand Euros for his three-days workweek ("Reorganisatie moet imago Plan Nederland oppoetsen [tr. Reorganisation should brush up image Plan Nederland]," 2001).

It is expected in this study that the reputation of the NGO will be an important antecedent for the decision to donate money, since the 'product' of the NGO is its promise to devote itself to its goal, whether that is to save the nature or to protect human rights. Although in reputation literature the number of studies towards the relation between corporate reputation and financial performance is increasing (Black, Carnes, & Richardson, 2000; Fombrun & Shanley, 1990; Jones, Jones, & Little, 2000; Roberts & Dowling, 1997; Srivastava, McInish, Wood, & Capraro, 1997), there are relatively few studies that focus on charity reputation, or more specifically, on the effects of charity reputation on charitable giving (Bendapudi, Singh, & Bendapudi, 1996; Schlegelmilch, 1988; Webb, Green, & T.G., 2000). Therefore reputation literature will be used in this study to develop the 'charity reputation' concept. The effects of charity reputation on charitable giving will also be examined empirically. Besides, the effects of charity image, demographic variables that influence helping behaviour such as income, age (Guy & Patton, 1988) and educational level of respondents will be taken into account. In the full paper the three previous studies that describe the relationship between charity reputation and charity giving will be described. Subsequently the charity reputation concept will be elaborated upon. After that, the research method that is used in this study to examine the effects of charity reputation on charity giving will be focused upon.

Research method

In this study a questionnaire will be used to measure charity reputation and charitable giving. The data are part of the larger 'Giving in the Netherlands' project which examines the behavior and the attitude of respondents towards giving to philanthropic causes (Schuyt, 1999, 2001, 2003). In the latest study 1,707 respondents took part in the survey (Schuyt, 2003). Like in the previous years, a research agency will gather the data from a representative sample of the Dutch population by means of 'computer assisted self interviewing' (CASI).

This means that a representative sample of the Dutch population is provided with a computer. The questionnaires are sent to the respondents and returned to the research agency via a modem. The research agency claims to make an effort to take into account the category of respondents which

usually do not possess a personal computer (the elderly and the lower educated people). The data will be gathered at one point in time, namely in May 2004.

Measures

In this study several items will be designed to measure charity reputation. These items will be based on reputation literature (Fombrun, Gardberg, & Sever, 2000; Vercic, 2000) and on the scale that was developed by Webb, Green & Brashear (2000) to measure attitudes towards charitable organizations. All statements will be operationalized using five-points Likert type scale response formats ranging from strongly disagree to strongly agree.

The items that will probably be used in this study are:

The money given to charity X goes to good causes
Much of the money donated to charity X is wasted (R)
My image of charity X is positive
Charity X has been quite successful in helping the needy/the environment
Charity X performs a useful function in society
Charity X is well-managed
I trust charity X
Charity X is appealing to me
Charity X has a certain magic
Overall report mark for charity X (scale from 1 till 10)

Charitable donations will be measured by asking the respondents if they have donated money to the charity concerned, and if so, how much money they have donated.

Analysis

The data will be analyzed by using Ordinary Least Squares Regression. In this way the effects of charity reputation on charity giving are controlled for the effects of the demographic variables and vice versa.

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Paper Number: PA041338

Paper Title: Do Tax Incentives Really Make a Difference in Charitable Giving? Why Not?

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Summary of Research

It is an accepted truth in the nonprofit sector, derived from economic studies, that charitable donations rise in generally proportional response to reductions in income tax. Using data on individuals' actual and intended behaviours concerning charitable giving from a large national survey, this analysis provides strong contrary evidence that a very large proportion of charitable givers are unresponsive to tax incentives, along with the reasons for this. With significant implications for tax policy pertaining to charitable giving, the paper discusses alternative reasoning to the tax incentive approach to strengthening charitable giving.

Description

It is an unquestioned orthodoxy in the nonprofit domain that charitable giving is directly and strongly responsive to income tax incentives. Deliberations about the nature and magnitude of tax incentives for charitable donations are routinely cast in terms of economic assumptions and reasoning, starting from the assumption that in giving as in all other behaviours which entail monetary transactions, individuals use a calculus of self-interest maximization in their decision-making. Economic analyses postulate explicit deliberation by individuals, using essential available information; they utilize a small number of variables, most of them economic; and they produce generalizations principally at a high level of aggregation (i.e., society as a whole). These economic analyses do not seek to understand or explain the processes that underlie donation decisions, do not seek to understand the diversity of outcomes, make little use of social or psychological variables, and favour a theoretical econometric approach over empirical analysis. This study turns that mode of thinking on its head by analyzing data on individuals' stated actual and intended behaviours concerning charitable giving and claiming tax credits from a large national survey (N=14,700) done in Canada in 2000. This analysis utilized a large set of social, demographic, and economic variables; it also explicitly recognized the documented fact that a sizable portion (4 in 10) of the Canadian population is unaware of tax regulations concerning charitable donations and credits.

The analysis revealed that tax credit considerations play a role in decisions about donating only for a minority of respondents. For example, 87% say they donate for reasons other than the tax credit, and 51% would not give more if there were a larger tax credit. More importantly, the analysis provided abundant evidence of the absence of rational deliberation based on a calculus of utility maximization in donation decision-making; to illustrate: 41% of those who said they donated because of the tax credit said they were nonetheless not going to claim that credit!

Regression modelling of the characteristics of those who say they will claim the tax credit accounted for 31% of the variance and correctly predicted three-quarters of the cases; such modelling was not effective for those who say they will donate because they will receive a tax credit, nor for those who say they would give more if there were a greater tax credit. Implications of this study for public policy are several, beyond the central finding that tax incentives will have limited effects; they include recognizing the possibility there are different reasonings and behaviours for donating from personal income versus from personal assets, and recognizing that social policy might be utilized in addition to tax policy to strengthen charitable giving.

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Paper Number: PA041431

Paper Title: Giving as an Obligation: Jewish Philanthropy and Emmanuel Levinas

Author(s):

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Summary of Research

This paper considers from a Jewish perspective the question of why people give by examining the Jewish and philosophical writings of the contemporary French philosopher Emmanuel Levinas. The distinction between tzedakah and charity is an ethical one, requiring Jews to give in a spirit of equality that honors the humanity of the recipient. By treating the recipient with dignity, we bring out his or her humanity, as well as our own. What Levinas added to Maimonides is the paradox that to experience the other as fully human is to experience the divine.

Description

This paper considers from a Jewish perspective the question of why people give by examining the Jewish and philosophical writings of the contemporary French philosopher Emmanuel Levinas. The distinction between tzedakah and charity is an ethical one, requiring Jews to give in a spirit of equality that honors the humanity of the recipient. Far from a Levinasian invention, recognition and appreciation of the other is a basic tenet of Jewish thought. Concern for the dignity of the poor underlies Maimonides' "eight levels of tzedakah." Helping the economically disadvantaged earn their own living is the highest level not because it proves that they are deserving but rather because it preserves their dignity. By treating the recipient with dignity, we bring out his or her humanity, as well as our own. What Levinas added to Maimonides is the paradox that to experience the other as fully human is to experience the divine. Levinas conceptualizes this as an "encounter with the face of the Other" where the face is not a physical face but a representation of the unfathomable depth of the other that brings about "an epiphany or a revelation or a visitation" (Kessler).

□ It is important to note that, though Levinas is writing about Judaism, he means for his observations to have a much broader application. This point is made clear in "A Religion for Adults" when he explains his concept of "Jewish universalism": "A truth is universal when it applies to every reasonable being. A religion is universal when it is open to all. In this sense, the Judaism that links the Divine to the moral has always aspired to be universal" (21). Following this appeal to universality is an interpretation that identifies people of all religious faiths as Jewish when they choose to see themselves "obligated with respect to the Other" (21-22). Jews were, according to Levinas, the "chosen people" because they received "the revelation of morality, which discovers a human society." By implication, people of other faiths who likewise choose to receive that revelation are also "chosen." As such, the philanthropist, to the extent to which he or she acts out of an obligation to help the other, is an honorary Jew.

□ For both the philanthropist and the Jew, respecting others means honoring their freedom. This is a controversial and divisive issue in philanthropy, since the charitable purpose of many nonprofit organizations involves convincing others to do something that they may not otherwise be inclined to do. As philanthropists begin to recognize and honor the freedom and individuality of those whom they aim to help, they begin to emulate the Jewish conception of God. According to Levinas, the Jewish God does not impose himself on humans through miracles or ecstatic states where one is said to be divinely possessed. This would violate their freedom, which is why "the Sacred that envelops and transports me is a form of violence" ("A Religion" 14). This conception of the Sacred is, according to Levinas, a form of idol worship from which Abraham, smashing Tereh's idols, broke free (DF 14).

□ In an age that gives us many reasons for despair, Emmanuel Levinas was a philosopher and a Jew who gives us hope. His response to misanthropy and the personal tragedies and professional betrayals it caused him was to give all he could of himself to heal and transform the world. His writings return the lost to Sinai, but when we get there, we discover that the burning bush is not way up high on some distant mountaintop but rather in the face of the person sitting across from us, whose humanity and need for dignity, independence, and freedom we recognize and honor. Levinas' essays on Judaism invite philanthropists of all faiths to give out of a sense of moral obligation with respect to the other.

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