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Factors of effectiveness in Kentucky nonprofit social welfare organizations.

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FACTORS OF EFFECTIVENESS IN KENTUCKY NONPROFIT SOCIAL WELFARE ORGANIZATIONS

By

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B.F.A., West Virginia University, 1980
M.S.W., West Virginia University, 1990

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DEDICATION

TO MY HUSBAND ARTHUR MCGUIRE

SEMPER FI

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I am pleased to have the opportunity to acknowledge my family, my friends, and my teachers. After giving this portion of the document considerable thought, I concluded that I could not possibly credit one person for providing me with the insight to accomplish this task.

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ABSTRACT

FACTORS OF NONPROFIT SOCIAL WELFARE ORGANIZATIONAL EFFECTIVENESS

Peggy Proudfoot McGuire

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This dissertation is an exploratory, mixed methods study using grounded perspective to examine how stakeholders (including consumers, administrators, and practitioners) in social welfare organizations perceive effectiveness in the nonprofit social welfare sector. Focus groups were held in eight regions constituting the Area Health Education Centers (AHEC) in Kentucky. A total of 25 people participated in the study. A theoretical framework of nonprofit social welfare organizational effectiveness emerged from the data indicating that the five most significant factors identified by stakeholders as constituting effectiveness in the nonprofit social welfare sector in Kentucky were (a) client services, (b) organizational structure (c) workplace environment, (d) staff efficiency, and (e) organizational funding. Thirty-five statements emerged under these five categories highlighting the activities that are considered most important to an effective non-profit social welfare organization in Kentucky. The sub-categories culminated into a grant application and an evaluation tool for

use by the philanthropic group to judge if an organization is effective and deserves to be funded.

Chapter I presents the research question and purpose of the study as well as an overview of the theoretical perspectives and value foundations that have motivated the charitable movement in the United States. Chapter I provides an overview of how these perspectives and foundations are tied to the concept of nonprofit social welfare organizational effectiveness. Chapter II, a review of the relevant literature, presents what has been developed in the way of conceptualizing and measuring nonprofit social welfare organizational effectiveness. Chapter III describes the methodology incorporated in this study. Chapter IV details the results as well as the emerging framework of how stakeholders in nonprofit social welfare organizations in Kentucky view organizational effectiveness. Chapter V provides overarching implications of the research, strengths and limitations, and implications for future studies.

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CHAPTER I

PROBLEM STATEMENT

Lack of a clear definition of organizational effectiveness in nonprofit social welfare organizations clearly impacts organizational goals and performance on at least three levels: (a) individual (rational) as recognized from the bureaucratic perspective and characterized by Scott (1987) as being a closed system with strict structures and functions such as rules and policies focused on individual activities, (b) group (natural) recognized in the human relations perspective and characterized by Scott (1987) as being a closed system centered on co-worker relationships established in an informal manner with a focus on group behaviors, and (c) organizational (open systems) recognized in the systems perspective and characterized by Scott (1987) as being an open system centered on throughputs of resources from the environment with a focus on *negative entropy* or an acquisition of energy from the environment that can be turned into work and maintain the organization's system. According to Scott, closed systems will eventually break down because there is no input of energy from the environment to maintain the organization's given structure. Both activities (*bureaucratic)* and behaviors (*human relations)* within an organization happen only within the organization itself and are not dependent on outside input. Without input from the environment, the organization will eventually expire.

From a bureaucratic perspective, problems at the individual level could include a lack of guidelines for behavior and decision making promulgating issues including excessive absenteeism, low productivity, careless work, and falsifying records. From a human relations perspective problems on the group level could evolve around sexual harassment, discrimination, and/or abusive and intimidating behaviors toward employees and clients. From a systems perspective on the organizational level problems could erupt around the transparency of records involving fundraising and fiduciary activities. These perspectives were chosen based on Scott (1987), Dolgoff and Fenstein (1984), and Norlin, Chess, Dale, and Smith (2003) who identified them as the current principal perspectives in organizational studies.

To gain public understanding and trust, organizations should be transparent, especially about their funding and spending. Problems involving individuals, groups and organizations bring disgrace to organizations and can emerge from a lack of clarity in the definition of organizational effectiveness.

Scott (1987) maintained that without a clear definition of effectiveness guiding an organization, the means to the end, or processes toward goals, often become goals within themselves. An example is a nonprofit social welfare organization that touts provision of case management services as a program goal, yet measures this goal by the amount of their Medicaid billing. The billing becomes the goal instead of the service provision.

The literature on measuring organizational effectiveness is confounding to the most erudite scholars. Kanter and Brinkerhoff (1981) suggested that principal

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academics have advocated the abandonment of research into organizational effectiveness based on what Baruch and Ramalho (2006) termed as lack of agreement on criteria and terminology. Norlin, Chess, Dale, and Smith (2003) indicated that there is not a commonly accepted perspective of organization (in general) let alone bona fide standards of nonprofit social welfare organizational effectiveness. How then are philanthropic groups to decide which charitable (nonprofit) organizations are deserving of funds?

The opportunity to explore the question came in the form of a grant from the Kentucky Social Welfare Foundation (KSWF, or Foundation). The goal of the KSWF is to use its limited assets to support programs effectively administered by well-organized social service and health agencies, including demonstrations of progressive and effective methods for self-help training. Martha Davis is the principal in the Foundation and maintained that the Kentucky Social Welfare trust fund was to be used to improve standards of living and opportunities for those less advantaged residing in rural areas and areas of special need in Kentucky.

In 2004, KWSF board members indicated a need for a mechanism to assist them in making evidence based funding decisions. The dilemma as described by several board members was indicative of Baruch and Ramalho's (2006) assertion that there is lack of agreement about effectiveness criteria and standards for nonprofit social welfare organizations. The deficiency of criteria to define organizational effectiveness often led to disagreements within the board regarding who should and should not receive funding from their foundation. The need for a solution to this dilemma defined the research questions for this study.

Purpose and Research Questions

The purpose of this study was to (a) find a method to define nonprofit social welfare organizational effectiveness, and (b) to develop a mechanism for the Kentucky Social Welfare Foundation to invite nonprofit social welfare organizations to apply for funding and to subsequently evaluate these applications for quality and organizational effectiveness.

Specific research questions derived from the overall purpose are:

1.   How does the literature define organizational effectiveness for nonprofit social welfare organizations?

2.   What are clear statements that can be derived from the literature that can be used to frame organizational effectiveness discussions among nonprofit social welfare organizational stakeholders?

3.   How do the different stakeholders (administrators, practitioners, and clients) rate the different statements derived from the literature on organizational effectiveness?

4.   How can stakeholder ratings of the statements be used to frame organizational effectiveness from a stakeholder's perspective?

5.   How can the literature and stakeholder ratings be used to inform the Kentucky Social Welfare Foundation on how a grant application should be written and evaluated to assure that effective organizations are funded?

To date, no mechanism can be found to organize attributes of effective nonprofit social welfare organizations, in particular, a mechanism of dominant processes along with their corresponding criteria for effectiveness. Kanter and

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Brinkerhoff (1981) highlighted the special problems of evaluating effectiveness in nonprofit social welfare organizations by pointing out that nonprofit social welfare organizations are engaged in providing services and fundamentally lack profit as a criterion for effectiveness. These issues, in addition to the dilemma of finite performance measures for services, cause nonprofit social welfare organizations to (a) be obliged to many stakeholders, and (b) have difficulty attracting funding and documenting that it has been effectively utilized. Kanter and Brinkerhoff maintained that nonprofit social welfare organizations need to be proficient at both fund raising and effective programming, and indicate that measures have not been developed to ascertain whether they are effective at both activities. Shilbury (2006) agreed with Kanter and Brinkerhoff by demonstrating the difficulty that nonprofit social welfare organizations face in measuring the success of their intended missions. Due to the paucity of effectiveness criteria, Shilbury (2006) proposed that a framework of the multiple performance conditions inherent in the nonprofit social welfare environment be developed, which is attempted in this dissertation.

Using a method of reduction, the definition of social welfare was initially explored to gain an understanding of the functions of the construct. Following that inquiry, principal perspectives that supply the foundation for most of the organizational material were queried with the inquiry narrowing to the values that support the perspectives.

Perspectives offer explanations for behaviors and relationships, and the values of these perspectives provide the basis for analyzing human interactions.

The understanding that scientific perspectives are often underpinned by philosophical assumptions, however fundamental, is often overlooked in the process of defining organizational effectiveness. Robbins, Chaterjee, and Canda (1998) offered some insight by asserting that all perspectives contain ontological and epistemological suppositions pertaining to philosophical assumptions. These philosophical roots regarding the nature of human beings and their interactions are hypothetical interpretations of what Durant (1961, xxvi) defined as the inexactly known or ethical philosophies. Value underpinnings pragmatically explain human interactions, and provide the starting point in the development of a definition of nonprofit social welfare organizational effectiveness. Chapter I includes (a) the definition of social welfare, (b) value considerations, and (c) the result of the lack of definition of organizational effectiveness in the nonprofit social welfare sector.

Definition of Social Welfare

According to Dolgoff and Feldstein (1984) every type of formal organization is created to perform functions or solve problems on a group level. These functions and problems cannot be achieved through individual efforts.

Norlin, Chess, Dale, and Smith (2003) maintained that during the industrial revolution organizations were created with the goal of mass production of goods. The study of organizations was initiated by Weber (1902/1947) as a result of his interest in the "application of knowledge to the problems faced by managers of industrial and business enterprises" (Norlin et al., p. 286).

This study is concerned with social welfare organizations. To adequately understand the dichotomy between business enterprises that focus on the function of manufacturing goods as opposed to the goal of social welfare organizations of solving problems in the social welfare arena, the question of defining social welfare is paramount. Dolgoff and Feldstein (1984) held that social welfare "functions to meet the maintenance needs of society by preventing instability and by providing for social continuity" (p. 4). They ultimately concluded that social welfare is an "institution" (p. 4). Based on this definition of social welfare, it is clear that the function of social welfare organizations is vastly more complex than that of their industrial counterparts. Pumphrey (1963) echoed the National Association of Social Workers (NASW) definition of social welfare:

> Social Welfare generally denotes the full range of organized activity of voluntary and governmental agencies that seek to prevent, alleviate, or contribute to the solution of recognized social problems, or to improve the wellbeing of individuals, groups, or communities. Such activities use a wide variety of professional personnel such as physicians, nurses, lawyers, educators, engineers, ministers, and social workers. (p. 24)

The goal of the charitable sector, specifically nonprofit social welfare organizations, is to serve the public good, especially those who are in need. However, the competition for funds to maintain these organizations has motivated some to abandon or amend their original missions of community service in favor of implementing programs that are initiated in response to the guidelines of government or philanthropic donors. Organizations created with the

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mission of a specific community goal often must alter the focus of their services in the name of survival.

Kanter and Brinkerhoff (1981) adamantly promoted the hypothesis that organizational effectiveness is an illusive concept subject to the interest of organizational stakeholders, turning helping organizations into political combat zones. They cite the present confusion regarding the concept of effectiveness and illustrate that problems of measurement should be framed in the form of *what* to measure as opposed to *how* to measure.

Societal Value Influence on Social Welfare Policies and Organizations

Dolgoff and Fenstein (1984) reported that societal values are the chief influence on the functions of social welfare. They additionally pointed out that all social welfare organizations are either conceived from an *institutional, residual, or developmental* standpoint based on policy maker's (and therefore the public's) values. *Institutional* organizations are developed as a legitimate function in a modern society, such as Social Security for the elderly. They carry no stigma and are assumed by the public to be a needed service. *Residual* organizations are considered normal, but are developed in response to crises crisis which neither the market economy nor family systems can accommodate. *Developmental* organizations are not seen as necessary and are created to fulfill human development. All are value laden and these values affect social welfare policies and organizational development. The War on Poverty is an example of the development of a social policy and related *residual* organizations based on societal values.

The War on Poverty

Dolgoff and Fenstein (1984) stated that in 1963 President John F. Kennedy launched the" War on Poverty". They discussed President Lyndon B. Johnson's continued interest in the cause and the consequential Economic Opportunity Act of 1964. President Johnson arrived in Inez, Kentucky that year to draw attention to the plight of Appalachia (Figure 1). As a result of this War, the Appalachian Regional Commission was created as a funding source to assist counties in creating organizations in 12 geographical locations in Appalachia (*residual*). The Commission was charged with helping the needy who Dolgoff

Figure 1. President Johnson and his wife Lady Bird declaring *War on Poverty* in Inez, Kentucky in 1964.

and Fenstein (1984) indicated were considered to be of low intelligence and having emotional problems and in need of rehabilitative services. These values about the people of Appalachia were held by the policy makers who voted to fund the "War". The Commission was to provide services through organizations by funding health, housing, and education initiatives. These initiatives were based on policy makers' values about what persons in Appalachia, according to Dolgoff and Fenstein, needed in terms of opportunities for self advancement and involvement in societal decision making. They stated that "services were offered because one has not made it in society due to personal shortcomings and therefore needs assistance of a service nature" (p. 83). After 30 years of service, according to *The Columbus Dispatch*, the Commission has not met its goals (Appalachia Hollow Promises, 1999). Many nonprofit social welfare organizations in the Appalachian region of Kentucky, West Virginia, and Ohio remain undeserving in, for example, health, mental health, and housing needs.

The failure of the Appalachian Regional Commission to meet its original goals accentuates the impact of policy makers' value systems on the development of social welfare organizations and the difficulty that both philanthropic organizations and community nonprofit organizations have with effectively utilizing funding to meet the population's needs. It also clearly demonstrates the consequences of not having a clear definition of nonprofit social welfare organizational effectiveness. Daily, organizations in Appalachia designed to serve the underprivileged attempt to follow through on their mission statements and meet their budgets. The lack of a framework to guide their

understanding of creating and maintaining effectual social welfare organizations plays a primary role in the problems that current organizations face in attaining successful program outcomes.

The Columbus Dispatch reported that in 1999 the most distressed counties in the Kentucky, West Virginia and Ohio regions of Appalachia have grown in population size since 1960. Distressed counties in Kentucky have witnessed an increase of about 22% since 1970. With resources scarce and a climbing population that is becoming extremely diverse culturally, nonprofit social welfare organizations have found themselves in need of simultaneously providing needed services and competing for dollars from a fledgling economy. Organizations are often required to defer resources to intra-organizational activities in order to raise funds.

Dolgoff and Fenstein (1984) asserted that though the War on Poverty was seen by many as having been a failure; it was the motivation for many social welfare policy changes, programs and organizations that are seen today. They cited the "War" as being (a) the impetus for client involvement in planning and developing social welfare programs,(b) the impetus for client's rights to access information about their entitlements, (c) the creation of the Head Start program, (d) the initiation of legal aid,(e) the development of the Job Corps, (f) the development of Vista Corps (currently Ameri Corps), and (g) the New Careers movement using paraprofessionals and indigenous members of the community to serve in human services roles. The effectiveness of these social welfare

organizations has yet to be verified due to the lack of effectiveness measures for nonprofit social welfare organizations.

Values Affecting Funding and Judgment of Effectiveness

Decisions about the funding of organizations appear to be promulgated on assumptions and politics instead of evidence. As Kanter and Brinkerhoff (1981) confirmed in their review of the literature over 20 years ago, the organizational models flourishing today are based on the values and competition of stakeholders who apply pressure to advance their own interests. Freemont-Smith (2004) discussed funding of nonprofit social welfare organizations during the mid-twentieth century. She reported that funding of what are presently termed nonprofits began to come from two tiers—philanthropic donors and the United States government. She stated that this two tiered path continued for approximately three decades guided by what Dolgoff and Fenstein (1984) termed as societal events and the values held by society regarding the consequences of those events.

These institutions were created without much discussion of proof of effectiveness of services. Government social welfare agencies, according to Freemont-Smith, were centralized entities that used Taylor's (1911) scientific management protocol as evidence for efficiency and therefore effectiveness standards. Children's homes, foster care, and pensions for widows, to name a few, were administered and examined for effectiveness according to standards written for industry. Freemont-Smith held that these centralized agencies did not have to prove their day to day effectiveness. She claimed that events such as the

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development of tuberculosis treatments led to the decline in sanitariums, therefore by societal standards the sanitariums (organizations) had been effective. Throughout the early 20th Century, those receiving social welfare services were largely institutionalized. Orphanages and state hospitals for the mentally and ill and those afflicted with illness such as tuberculosis flourished. In 1963, according to Dolgoff and Fenstein (1984), the Mental Retardation Facilities and Community Mental Health Centers and Construction Act created federally funded community mental health centers in the United States that were designed to do away with institutionalization. Although the purpose of the Act was to decentralize services into the community, it promoted even more centralization of services with little in the way of standards to judge whether the organizations were effective.

As previously suggested, societal values appear to be the primary motivation for social policy, funding of social welfare organizations, and evaluation of social programs and social welfare organizations. The literature reveals a great deal of fragmented information about organizational structures, functions and models, but discusses very little in the way of perspectives that support these elements. Because values tend to be the primary impetus behind policy development and programming, it would appear that values also play a major role in how organizations are administered. After investigating multitudes of organizational elements and models it becomes apparent that the perspectives that support these elements need further inquiry.

How Values Affect Organizations

Nonprofit social welfare organizations are expected to contribute to the quality of life and the betterment of society. Effective nonprofit social welfare organizations also provide avenues for employees to develop their talents and skills and pursue self-actualization. Some people discover great meaning and fulfillment from the services they provide and in their relationships with co-workers. Unfortunately, this is not always the case. According to Dolgoff and Feldstein (1984) some nonprofit social welfare organizations can be detrimental to society based on their values regarding the human condition. Within the nonprofit social welfare sector, quality assurance guidelines, such as limiting time with clients, sometimes undermine practitioners' interventions and ultimately affect client outcomes.

Nonprofit social welfare organizations have tremendous societal power and the leaders of organizations are required to balance difficult ethical dilemmas. From a deontological perspective, the balance of authority is clearly in the hands of the organization regarding wages, benefits, and working conditions. Although disgruntled employees are free to quit, the consequences of quitting are clearly more costly to individuals than to the organization. The loss of a job to an employee is more catastrophic than the loss of an employee to an organization. Not only are employees of these organizations damaged by loss of wages and self worth, but their clients are sometimes equally damaged by the loss of their helping professionals.

In some situations employees are faced with moral dilemmas because they are asked to perform unethical or illegal acts. For example, employees are sometimes told to falsify reports of client outcomes, to fabricate client issues for the purpose of drawing down Medicaid dollars, to ignore vital client information because of existing relationships between clients and employees, or to fire employees because of their ages, sexual orientation, or race. These actions are immoral and illegal, and employees should never be expected to obey them. Even minor violations, such as telling a secretary to say that a supervisor is out when the supervisor is really in can create an uncomfortable situation in which the secretary is forced to compromise personal standards of integrity. When nonprofit social welfare organizations condone illegal or immoral activities, the potential for exploitation is obvious.

On the other hand, nonprofit social welfare organizations cannot control the expectations of employees, and there are natural tendencies for employees to develop false expectations. For example, job opportunities, even those that are typically valued by employees, such as those created by grant acquisitions, can result in unintended stress. Excessive job pressure may impair health and leave employees too emotionally exhausted to cope with other demands.

Hierarchal organizational structures create natural opportunities for adversely influencing employees because they tend to develop distorted concepts of authority. When persons are promoted to a higher-level position, the promotion somehow seems to imply moral superiority, innate goodness, or some other virtuous quality. As a result, employees may not question the decisions of

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upper-level supervisors and give too much credence to supervisors' opinions. The blind obedience that results is often a disservice to clients, employees, supervisors, and entire nonprofit social welfare organizations.

Values of the Bureaucratic Perspective

Reed (1998) maintained that modern society is dominated by the logic of classic scientific perspectives that organizations have rationally assigned technical functions and bestowed authority that monitors the behaviors of individuals. He additionally asserted that by establishing hierarchies, society will benefit by functioning more smoothly. In a similar vein, Saint-Simon (1958) posited that organizations provide defenses against social and political conflicts and other uncertainties by establishing power structures that are based on technical expertise rather than seniority.

This perspective is consistent with the maxims of Kantian deontology (duty) which espouses that an action is justified by showing that it is right, not by showing that the consequences of the act are good (Freeman, 1998). Kant, according to Freeman, believed that consistency was the key to morality and that rational beings should be guided by their intentions of good will and as if their actions would become universal natural law. An example of this kind of thinking would be that one should not steal to avoid being punished. Likewise, within the value system of the classical scientific perspectives such as bureaucratic perspective, individuals would be compelled to follow the rules of the hierarchy for the good of society or "the universal law" (p.63).

Robbins, Chatterjee, and Canda's (1998) outline of this ethical principal includes an intrinsic sense of good, with moral and behavioral codes that are based on external rules—that societal relationships are essentially cooperative, and that individuals are controlled by external forces. From this view, change and free will should be avoided and undesirable behaviors are considered to be abnormal. Freeman (1998) also maintained that Kant saw individuals as possessing the faculty of rationality, which is the essence of bureaucratic perspective.

Value Systems of Human Relations Perspective

Human relations perspective was developed by Roethlisberger and Dickson (1939) after conducting experiments at a Western Electric Company near Chicago during the late 1920s and early 1930s designed to test hypotheses generated from the rationalist perspective of bureaucratic perspective. These experiments, known as the *Hawthorn Studies,* tested the effect of optimum lighting on workers' production with the promise of increased pay for an increase in production for the experimental group. These studies showed that increased lighting and economic incentives had little to no effect on production of either group. In fact, production went up with both the experimental and control groups. After discussing these findings with the workers it was learned that the employees had been delighted by the attention that the company and researchers were giving them and they *wanted* to respond by doing a good job regardless of the economic incentives. The discovery of informal organizations within formal organizations emerged and was further developed by Mayo (1945).

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Other studies were carried out by the *Harvard group* which included Mayo, Roethlisberger, and Dickson that ultimately illustrated similar results. These results demonstrate that employees are motivated to generate optimal performance based at the social psychological level rather than the economic level. This research also highlighted how extraneous differences such as race and gender have strong consequences on the distribution of work, status, and organizational behavior.

The *Hawthorn Studies* have a commanding consequence on the relationship between worker satisfaction and productivity and stress the influence of positive morale among employees. This perspective has strong ties to virtue ethics which promotes the values of what Freeman (2000) noted as self understanding and existentialism. Spohn (1992) wrote that virtue ethics encompass the values of actions and recognition of human excellence. He expounded upon this idea by emphasizing the importance of actions in displaying an individual's values and commitments.

The human relations perspective, according to Norlin, Chess, Dale, and Smith (2003), is more closely associated with Tonnies (1957 trans.) idea of Gemeinschaft (rural relationship orientation). They posited that this perspective provides a balance for the more formal idiosyncrasies found in the Gesellschaft (urban industrial orientation) arrangements of organizations that strictly adhere to bureaucratic perspective.

Values of the Systems Perspective

The systems perspective evolved from the 19th century ideologies of sociologists such as Tonnies (1957 trans.) who discussed social organizations from the perspectives of Gemeinschaft and Gesellschaft, or rural and industrial societies. Durkheim (1893/1949) eventually used this perspective to differentiate between organic (Gemeinschaft) and mechanical (Gesellschaft) societies. Eventually Pareto (1935), Homans (1950), Parsons (1951), and Merton (1957) all developed perspectives based in part on systems concepts. Scott (1987) maintained that Bertalanffy, a Canadian biologist, expanded on this perspective, partly as a concern of increased compartmentalization of science. Bertalanffy (1956) held that "the physicist, the biologist, the psychologist and the social scientist are, so to speak, encapsulated in a private universe, and it is difficult to get word from one cocoon to another" (p.,1).

To find the ethical roots of these theorists one must look at a philosophy that takes into consideration various aspects of culture. Both Tonnies (1957 trans.) and Bertalanffy (1968) were concerned with the compartmentalization of entities, Tonnies with the differences in social structures of agrarian, communal, and industrial societies, and Bertalanffy with the differences between various realms of the scientific world. Although the primary concept of systems perspective lies in the essence of communication (Scott, 1987), ethical considerations appear to be rooted in relativism. Freeman (1998) indicated that both cultural and moral relativism encompass standards that are "always relative to something else" (p. 45). Additionally O'Brien (1972) acknowledged the Greek

sophist Protagoras with the idea that man is the measure of all things. Taking this ethical perspective into consideration, the world is seen as subjective where no uniform consensus exists from which to make judgments (Scott, 1987). Robbins, Chatterjie, and Canda (1998) believed that systems perspectives were developed as assessment frameworks to connect these compartmentalized and increasingly complex systems.

The overlay of relativism as the ethical guiding principal in the development of systems perspectives appears to be especially applicable to organizational studies. Because of the predictive and explanatory nature of systems perspectives, they are especially useful in assessing various degrees and types of organizational development (Robbins, Chatterjie, & Canda, 1998).

Concepts of internal and external features of good and bad, as well as the question of free will and behavior being determined either internally or externally, are all relative to the culture of the organization under study. Within relativism, these issues are not seen as right or wrong—they are simply judgments that are contingent upon the realm of the organizational culture (Freeman, 1998).

Robbins, Chatterjee, and Canda (1998) cited systems perspectives as promoting a steady state for the maintenance of systems functions and self correction. This concept of adaptability coincides with the theoretical construct of relativism and is a fundamental element of systems perspective. Therefore, the values of incremental and evolutionary change are considered normal within these perspectives. Lastly, Robbins, Chatterjee and Canda (1998) maintained that within the systems perspective, society has a major impact on individual and

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group behaviors, suggesting that organizational culture strongly influences human interactions.

Due to the inherent guidelines that accompany bureaucratic funding, nonprofit social welfare organizations must look closely at budget and productivity standards, and less at the process involved in providing services to stakeholders. For example, if donors' goals are not attained, the organization could perish. It is also more efficient for non-profit social welfare organizations to assess bottom line numbers in goals associated with money and productivity, than to measure efficiency and effectiveness from the perspective of the consumers, especially when most of them are paying for services via a federal endowment such as Medicaid.

Values of the Contingency Model of Systems Perspective

The confusion of defining performance standards in nonprofit social welfare organizations, such as production versus quality of services, can be better understood from the standpoint of a model developed on the premise of systems perspective. The contingency model provides a method that satisfies the assumptions of both structural and systems perspectives.

The contingency model of systems perspective informs us about organizational effectiveness by looking at organizational structures. Like general systems theorists, those focused on a contingency model look at how organizational structures are developed within a framework of factors such as environmental, technological, and stakeholder interests (Hurst & Vibert, 2004). Scholars of this model also note the correlation between an organization's

environment and structure. The contingency model suggests that an organization is more likely to be successful when its structure is in concert with its context— any organization that performs its designated function according to the directives of its environment and stakeholders has a greater probability of being effective.

According to Galbraith (1973) three assumptions underlie the contingency model: (a) there is no one best way to organize, (b) various ways of organizing are not equally effective, and (c) the best way to organize depends on the nature of the environment in which the organization exists. The contingency model, like general systems perspective, is ethically rooted in relativism. Because this model is so focused on environmental factors it is highly correlated to the elements of cultural relativism. Similar to cultural relativism in which the definition and judgment of issues is dependent upon the environmental context, the contingency model maintains that it is difficult to meet all of the contextual needs of an organization's environmental structure at one time, and calls for providing the best structural solution within the context of any situation (Reed, 1999). In this respect there are no internal and external features of good and bad, and organizations are viewed by the behavior of individuals. Judgments of right and wrong, as well as normal and abnormal behaviors come strictly from the standpoint of the culture of the organization. Within the contingency model there is a great deal of leverage for change, and the cooperative or competitive nature of the organization lies within each organization's culture. The contingency model provides the impetus for conceptualizing why there is a lack of consensus regarding a definition of effectiveness within nonprofit social welfare

organizations. Because of its focus on what is relevant, or situations within their context, the contingency model provides a blueprint to better comprehend what has caused the absence of a firm definition in this area. Table 1 summarizes the three primary perspectives.

Result of the Lack of Definition of Organizational Effectiveness

The absence of a clear definition of organizational effectiveness for nonprofit social welfare organizations is examined first in terms of causes and consequences and then gainers and losers. In other words, why are we at this juncture in the lives of nonprofit social welfare organizations without an overarching definition of effectiveness?

Causes and Consequences of a Lack of Definition of Organizational

Effectiveness in the Nonprofit Social Welfare Sector

Causes

Norlin, Chess, Dale, and Smith (2003) pointed out that little in the way of organizational perspective with respect to social welfare organizations emerged until around the late 1940s. Scott (1987) wrote that at that time the study of organizations became a separate domain of sociological investigation. He asserted that even after the recognition of organizational perspective as a sociological exemplar, social welfare organizations relied on the organizational perspectives of Weber (1902/1949) and Taylor (1912) to guide their administrative day to day activities. These perspectives, rooted in the rationalist perspective, were focused on goal attainment such as the production of goods and were mechanical in nature. They were strictly oriented to a horizontal and

Table 1

Guiding Perspectives, Scholars, and Main Themes

Guiding Perspectives	Scholars	Main Themes
Bureaucratic Perspective	Weber, 1902/1947	Organizations have rationally assigned functions and authority.
Bureaucratic Perspective	Taylor, 1912	Workers are motivated by economic incentives.
Bureaucratic Perspective	Fayol, 1949	Control of disruptions within organizations caused by informal behavior among workers can be controlled by structures in the formal organization.
Human Relations Perspective	Rothlisberger & Dickson, 1939	The level of production is set by social norms not by physiological capacities
Human Relations Perspective	Rothelisberger & Dickson,1939	Non-economic rewards and sanctions significantly affect the behavior of the workers and logically limit the effect of economic incentive.
Human Relations Perspective	Mayo, 1945	Often workers do not act or react as individuals Just as there is formal leadership in the formal organizational structure, so is there leadership in the informal organizational structure as members of groups.
General Systems Perspective	Bertalanffy,1967	To function properly, organizations need to adapt to inputs from the environment or achieve homeostasis.
Structural Functional/ (Systems)	Parsons,1959	Considered structure and functions of organizations as a guide to effectiveness.
Contingency Model	Katz & Kahn, 1966	There is no right or wrong way to organize. Look to the environment to guide structures and functions.
Contingency Model	Lawrence & Lorsch, 1967	Power is given to informal groups by colleagues.
Contingency Model	Hickson, 1971 Pfeffer, 1981	Organizational environment is affected by circumstances and subunits emerge which carry power, structures, and interest apart from the formal organization.
Contingency Model	Hurst and Vibert, 2004	Defining where organizational structures prove most effective in varied environments.

vertical integration which presumes that the horizontal outlines structures and the vertical outlines functions. This ideology overlooks the interactions of individuals in groups.

Scott (1987) held that nonprofit social welfare organizations are so multi-faceted that creating one set of standards from which to measure effectiveness is incomprehensible. He maintained that the numerous and cumbersome amounts of criteria assembled and developed into perspectives and models by organizational analysts constitutes little in the way of consensus regarding a valid and consistent framework of measurement standards. Scott attributed these variations to the philosophical mainsprings that guided analysts' conceptions of organizations. Lipsky and Smith's (1989) finding that a majority of nonprofit social welfare organizations' derived more than half of their revenues from the federal government underscores how nonprofit social welfare organizations are forced to adhere to bureaucratic regulations which include an institutional approach to service provision. Their study suggested that the intrusion of government into the affairs of the nonprofit social welfare sector has substantially altered the intent of nonprofit social welfare organizations to provide services to groups based on characteristics such as race or demographics.

Lipsky and Smith (1989) believed that nonprofit social welfare organizations founded in the true spirit of volunteerism are non-bureaucratic in structure, while many nonprofit social welfare organizations created as a result of the availability of government funds must be highly responsive to government regulations, quality assurance standards, and hierarchies. Fremont-Smith (2004)

underscored the shifting charity laws and regulations over the past century, giving the reader a sense that charities, although created for the public good, are highly responsive to public attitudes. She pointed out a range of issues brought forth by a concerned public relating to activities of nonprofit social welfare organizations: (a) that nonprofits (in general) are not publicly controlled, (b) that they support liberal or conservative causes, and (c) that they are exploiting the for-profit sector by receiving unfair tax advantages. She asserts that the only oversight of charities including nonprofit social welfare organizations, are the guidelines instituted by individual states and the Internal Revenue Service. Performance of nonprofit social welfare organizations are, in a legal sense, measured only by a set of financial standards, adding to the public's distrust of charities (Fremont-Smith, 2004).

The changing funding environment, stakeholder interests, lack of standard oversight mechanisms, and public distrust of the nonprofit sector, represent only the tip of the iceberg of confounding the process of evaluating effectiveness in nonprofit social welfare organizations. Questioning whether a social welfare organization is performing well can be very subjective and largely depends on the point of view of the investigator. Herman and Renz (1999) suggested that the concept of organizational effectiveness is a social construct fueled by organizations competing against each other for funds. They asserted that competition and the interest of the investigator creates a situation whereby nonprofit social welfare organizational effectiveness cannot be "reduced to a single measure" (p. 110).

Consequences

From the standpoint of the needy, the consequences of ineffective

organizations and their subsequent programming are clear. The needy public

looks to these organizations for relief of distress, and often does not feel relieved.

Donors who have sincere intentions of doing their fiduciary duty for the needy are

often enmeshed (in the eyes of the needy) with those who take advantage of

organizations that are exempt from a definition and measures of effectiveness.

From a community/organizational paradigm, Gans' (1972) essay of the

application of structural functionalism offered an explanation for the need to

maintain the status quo in a class oriented system. This perspective offers an

explanation for why helping institutions would incorporate laissez-faire attitudes

toward assisting clients to be healthy and self sufficient.

Gans (1972) claimed that poverty serves numerous economic, social,

political, and cultural functions for society–that an underclass is needed to (a)

provide menial labor, (b) subsidize the rich by volunteering for medical

experiments, (c) maintain social welfare and criminal justice employment, (d)

validate social norms by being labeled deviant, (e) allow the wealthy an outlet for

altruism by giving to charity, and (f) entertain the wealthy by enriching their lives

with music and art. According to Gans (1972), "if we really want to do away with

poverty, we must find alternatives to a variety of the functions that the poor now

perform" (p. 235). Gans' perspective highlights how organizational and

community attitudes perpetuate child maltreatment and other social ills. His

perspective is macro oriented and focuses on the maintenance of power

structures and the social order, and provides an explanation of the causes and consequences of the void created by an absence of a definition of nonprofit social welfare organizational effectiveness. This void allows greedy stakeholders in charge of power structures to provide only minimal input into decreasing problems for the lower classes. Social problems within the lower socioeconomic strata of a community offer those in power positions continual opportunity to promote the consequences of social deviance and a need for social order. From Gans' perspective the community/organizational power structure depends on the services of the under class. This provides impetus for a community organizational power structure to do as little as possible to help increase well-being among the poor.

Gainers and Losers from the Lack of a Definition of Organizational Effectiveness in the Nonprofit Social Welfare Sector

Gainers

Those in power who seek to take advantage of the nonprofit sector for self gain would seem theoretically to benefit from the flimsy standards and ideologies imposed on public charities. Societal attitudes toward social problems have been powerful determinants in deciding who is deserving of services or government involvement in their lives. For example, Lerner (1980) indicated that people may tolerate violence against children as a result of believing that the world is just and that people get basically what they deserve. Herzberger and Tennen (1982) further elaborated on this idea by introducing the concept that in a fair world only bad things will happen to bad people. In a study utilizing a vignette survey

involving a single mother on public assistance, Applebaum and Lennon (2003) found that societal attitudes toward low-income families are important in influencing public policy and ultimately how services are provided by social welfare organizations. They asserted that "policies that are viewed favorably by the public are more likely to be implemented whether or not they are the most effective" (p. 2). With this in mind, it is understandable how those who control nonprofit organizations could take advantage of public opinion. As a result of societal problems being blamed on needy individuals, nonprofit social welfare organizational power holders can seek unlimited amounts of funding based on the illusive idea of creating a healthy society. Conclusively, because job functions such as introducing and implementing programs to motivate needy individuals to "do better" are so taxing, nonprofit social welfare organizational stakeholders can provide excellent rationales for giving themselves higher salaries and extravagant fringe benefits. Based on the view of Gans (1972), Lerner (1980), Herzberger and Tennen (1982), and Applebaum and Lennon (2003): (a) social tribulations such as poverty are necessary to maintain certain needs of society such as menial jobs, (b) public opinion drives service provision, and (c) bad things only happen to bad people (if bad things happen to you, you must be a bad person); therefore, there is no need to improve on how organizations do their work (not the view of the author). The gainers in this scenario are those who provide inadequate services at the expense of unentitled consumers.

Losers

Society as a whole is negatively affected by the lack of a definitional framework to oversee the work of nonprofit social welfare organizations. As previously mentioned, consumers especially are hindered in their quests for more prosperous and healthy environments. The ideology that people get what they deserve appears to have a definite impact on the public's definition of organizational effectiveness. Public opinion, based on Herzberger's (1996) work, looks at problems encountered by social services consumers as their fault, with little if any responsibility placed on the effectiveness (or lack of) of the service organization. Well intentioned donors are also subject to lose because they have no way of knowing whether their contributions are used in a considerate and honorable fashion. Because there is no way to promptly and accurately identify organizational wrong doing or ineptness, nonprofit organizations' directors and practitioners are often (mistakenly) the targets of public distrust to help the needy.

Finally, societal failures lead to civil unrest. Those who are in compromised positions, lacking basic necessities such as appropriate housing, food, and health care, are more prone to crime which subsequently leads to increased demands on the societal tax dollar. The disadvantaged public has been schooled to seek assistance from the nonprofit social welfare organizations that were created to provide the services they need. It is ridiculous to believe that these organizations can eliminate all suffering, but the disadvantaged are charged with seeking these services or stand to be labeled as not wanting help.

Since nonprofit social welfare organizations have no solid framework of effectiveness based on values and evidence based studies, they are susceptible to the fraudulent activities of greedy stakeholders. This type of activity reduces and in some cases erases the ability of nonprofit social welfare organizations to effectively fulfill their mandated purposes. The result of these issues greatly influences the distrust of consumers about the true purpose of the charitable sector.

Conclusion

The need for an overarching definition of nonprofit social welfare organizational effectiveness is clear. The absence of a definition and criteria for evaluation of effectiveness contributes to a system that does not respond adequately to societal needs. Annually, untold millions are spent on social welfare services that do not consider the prevailing needs of the public or are attentive to outcomes that are not functional to their intended consumers. Unmet societal needs contribute to civil unrest and the creation of additional social problems that require programmatic solutions. This cause and effect manifestation creates a vicious cycle leading to a destructive society.

Causes for a lack of definition of nonprofit social welfare effectiveness and associated criteria appear to stem from the social welfare sector's reliance on industrial models initiated in the early 20th century as analysis for effectiveness. Additional causes include issues involving the multifaceted and cumbersome goals undertaken by nonprofit social welfare organizations based on societal attitudes toward social problems. Societal attitudes about social problems are the

impetus for funding subsidies focused on nonprofit social welfare organizations whose functioning continues to be primarily measured by financial standards in the form of eligibility for 501c3 or nonprofit tax status.

To have a more in-depth understanding of the concept of nonprofit social welfare organizational effectiveness, a review of the perspectives from the primary organizational scholars is needed. Chapter II will provide an overview of how organizational scholars conceptualize effective organizations.

CHAPTER II

REVIEW OF THE LITERATURE

Chapter II focuses on the first two research questions of this study, namely:

1. How does the literature define organizational effectiveness for nonprofit social welfare organizations?

2. What are clear statements that can be derived from the literature that can be used to frame organizational effectiveness discussions among nonprofit social welfare organizational stakeholders?

Concepts of Formal Organizations

The earliest initiatives regarding organizational behavior can be found in the conceptual writings of sociologist at the end of the nineteenth century and early 20th century. Tonnies (1957 trans.) discussed the differences between two types of social groupings—Gemeinschaft and Gesellschaft, or rural groups who share a feeling of cohesion and industrial societies who are driven by an active goal. Gemeinschaft could be illustrated by a community where each actor is motivated by service to the group, Gesellschaft by industry where actors are motivated by serving their future goals. He indicated that the value system in the rural environment is focused on the social action of cooperation and the goal of social wellbeing due to the majority of the population being equal in economic

status. Tonnies additionally highlighted the differences in rural versus urban perceptions using the concepts of cooperation (rural) and competition (industrial). Tonnies view of Gelleschaft coincides with the model of volunteerism in early human services work, while Gemeinschaft underscores the model natural to industry during the industrial revolution. Prior to this period, little can be found discussing the intricacies of organizational group behavior.

Although organizational effectiveness was developing theoretically and pragmatically from the industrial standpoint, issues of organizational effectiveness in the area of human services were nonexistent. Taylor (1911) appears to be the primary in the discussion for the need to conceptualize efficiency in industry and is noted by Norlin, Chess, Dale, and Smith (2003) as being the architect of applied organizational perspective. His treatise materialized during proliferation of the industrial revolution when the element of competition was strongly perpetuated and the goals of production and profits were crucial. He discussed work division as one of the principle assumptions of the concept of efficiency believing that rational individuals must be institutionalized and organized to be efficient and therefore effective at their work. Efficiency and effectiveness appear to have been dominated during the first half of the 20th century by the works of Taylor and Weber (1902/1947). Weber maintained that all employees should be employed by only one organization (meaning they can only hold one job at a time) and obey all rules and regulations established by the organization. Weber also suggested that the organization or industry take care of the worker by providing retirement. The thinking behind these factors correlates

with the deontological ethos that individuals will obey for the greater good. Fayol (1949) shortly followed Weber and focused on control of disruptions within organizations caused by informal behavior among workers.

In addition to the structure of organizations via Weber's (1902/1947) bureaucratic perspective, Norlin, Chess, Dale, and Smith (2003) discussed the effect of the *Hawthorn Study's* (1939) impact on how behaviors and relationships affect organizational dynamics and functions or human relations perspective. Norlin, Chess, Dale, and Smith additionally discussed the problems inherent in both bureaucratic and human relations perspectives with regard to providing a solid framework for effective nonprofit social welfare organizations. They expanded on this notion by maintaining that the need for a bridge between the two perspectives to unify and connect the knowledge base is paramount for social welfare organizations. Their recommendation for this bridge is the social systems perspective which they describe as a middle-range perspective offering the flexibility to "accommodate the entire domain of generalist social work practice" within social welfare organizations (p. 295). Historically, organizational studies were initiated from bureaucratic and human relations paradigms. After considering these two primary perspectives with regard to social welfare agencies, it appeared to be a natural conclusion to incorporate social systems perspective into the grouping based on the work of Norlin, Chess, Dale, and Smith. Consequently, the organizational perspectives of this dissertation were bureaucratic, human relations and social systems.

Developments in measuring organizational effectiveness over the past century have been numerous and highlight the complexity faced by scholars in the field of organizational studies. In particular have been the questions posed by organizational theorist regarding what should be measured when considering organizational effectiveness. The quagmire about factors to be considered in the study of nonprofit social welfare organizational effectiveness provides evidence that an exact definition has not been established.

This literature review consists of 19 sections to present the attempts to develop measures of organizational effectiveness in the business and industrial sectors throughout the 20th century. The review depicts how theoretical perspectives have driven the definition of organizational effectiveness in business and industry by scholars and organizational stakeholders alike. Baruch and Ramalho (2006) indicated that competing theoretical perspectives guiding the study of organizational effectiveness over the past century have served to create a state of complexity and confusion in the organizational research arena. By providing an overview of three prevailing theoretical perspectives and their association with organizational effectiveness, the multidimensional rudiments which are presently used to define organizational effectiveness will be understood. These theoretical rudiments will be converted into 80 statements indicative of tasks that are carried out by effective nonprofit organizations. The statements were generated as part of the *Concept Mapping* research method utilized in this project and described in Chapter III. The statements were generated from the literature using a Concept Mapping tool known as a *focus*

prompt (or root question). The *focus prompt* is a mechanism to stimulate

sentence completion to generate ideas related to the tasks to be carried out by

effective nonprofit social welfare organizations. In this study the focus prompt

was: "Tasks indicative of an effective nonprofit social welfare organization are . . .

". The numbers with the statements identify their relationship to the literature

(Table 2).

Analysis of the Bureaucratic Perspective

Organizational effectiveness can be diagnosed from many approaches.

From the classical, scientific school of organizational theorists and the

perspective of structural functionalism, Weber's (1947) bureaucratic perspective

offers a view that is based on the universal principals of closed systems, which

includes a strict division of labor based on a rationalist philosophy. The

bureaucracy perspective is primarily focused on *the end result or goal of the*

organization (which has been identified as survival) as an index for effectiveness.

The rudiment suggesting the concentration on *goals* is directly related to

statement 76 in Table 2.

Constructs of the bureaucratic perspective were generated by Weber

(1947), who wrote about industrialization and believed that as organizations

grew, a system of *efficiency would be needed to enhance effectiveness.* This

rudiment is related to statements 63 and 77 in Table 2. Reed (1998) pointed out

that a narrative interpretation framework used to describe the bureaucracy

perspective is that of "rationality" (p. 28). He indicated that the problematic theme

Table 2

The Four Main Theoretical Perspectives, and Items in the Literature

(B = Bureaucracy, HR = Human Relations, GS = General Systems, CS = Contingency Systems Model)

		B	HR	GS	CS
1	Utilizes outside training to stay current.				x
2	Communication occurs from the top down.	x			
3	The organization pays competitive wages and salaries.				x
4	Staff members have freedom to make decisions.		x		
5	Staff promptly return phone calls to other agencies.			x	
6	Agency uses evidence-based practices to serve clients.				x
7	Staff members are satisfied with their jobs.		x		
8	Managers are available for support.		x		
9	Staff members feel like they are part of a team.				x
10	Resources are adequate to provide services.			x	
11	Staff feel committed to the organization's mission.	x			
12	Agency communicates with community via advertising.			x	
13	The organization offers opportunities for promotions.	x			
14	Staff members listen to the concerns of clients.			x	
15	The organization is always looking for new funding sources	x		x	
16	Works cooperatively with other community agencies.			x	
17	The agency provides services that are actually needed.			x	
18	The work environment feels organized.	x			
19	Staff members are qualified.	x			
20	Clients reach their goals.			x	
21	The organization spends money responsibly.			x	
22	Staff members participate in the change process.		x		
23	Staff members keep thorough records.	x			
24	Interests of stakeholders are important.			x	
25	Employees contribute to the decisions.			x	
26	Hours of operation match the needs of clients.			x	
27	Everyone knows the organization's mission.	x			
28	Staff members get along with each other.		x		
29	The organization has adequate funding.			x	
30	Staff members feel that they are treated fairly.			x	
31	Staff members try new ways of doing things.		x		
32	Agency constantly develops funding sources.			x	
33	The organization has a low rate of absenteeism.			x	
34	The work place is pleasant.			x	
35	There is a high level of interagency communication.			x	
36	Spending is controlled			x	
37	Services adapt to changes in the community.			x	
38	The organizational mission is clear.	x			
39	Clients feel respected.			x	
40	Services are affordable to clients.			x	
41	Conflict is handled openly.			x	
42	Staff return phone calls promptly to clients.			x	
43	Staff morale is generally good.		x		

#	Item				
44	Clients are satisfied with the convenience of services.			x	
45	Agency has important community role.			x	
46	Staff members are well trained.				x
47	There are low rates of injury at the organization.				x
48	Programs have little government oversight.				x
49	Clients are satisfied with the cost of services.			x	
50	Managers are available for guidance.		x		
51	The organization has a long range plan.			x	
52	Staff have the supplies they need to do their jobs.				x
53	The organization has up to date technology.				x
54	The community respects organizational leaders.	x			x
55	Staff members are resourceful.				x
56	Staff receive regular feedback on their performance.		x		
57	Employees respect organizational leaders.	x			
58	Staff make independent decisions relative to their roles.				x
59	Clients are viewed as stakeholders.			x	
60	Low staff turnover (from Bureaucratic perspective).	x		x	
61	Eligibility criteria for clients are flexible.			x	
62	Eligibility criteria for clients are clear.			x	
63	The agency is efficient.	x			
64	Staff members feel committed to the organization.	x			
65	The organization has low staff turnover (from Contingency).				x
66	Case loads are reasonable.				x
67	Organization has individualized services.				x
68	Staff members have roles that are flexible.				x
69	The organization is responsive to the needs of clients.			x	
70	The organization provides quality services.	x		x	
71	Agency can compete with others for resources.			x	
72	Communication occurs from the bottom up.		x		
73	Staff members feel their contributions are valued.		x		
74	Department staff understand their fit into the overall budget.				x
75	There are opportunities for staff to be creative.				x
76	The organization achieves identified outcomes.	x			
77	Efficiency is routinely encouraged within the organization.	x			
78	Interests of clients and staff are important.			x	
79	Employees communicate well.			x	
80	The organization has multiple funding sources.			x	

which motivated the creation of this perspective was to create order in a system that was moving from unskilled labor to industrialization.

Weber (1947) used the ideal bureaucracy as a prototype for organizational efficiency and effectiveness. Based on rationalism involving a clear division of labor and impersonal relationships, Weber's perspective incorporates hierarchies

both within the organizational structure and within the physical environment of the organization. This perspective promotes the idea that all organizations should incorporate a defined employee selection process that pairs *qualified workers* with specific positions (19 in Table 2).

Each level of hierarchy would have a specified level of responsibility and authority. Taylor (1912) also discussed work division as one of the principle assumptions of the classical scientific perspective, believing that rational individuals must be institutionalized and organized. Reed (1998) talked about other elements of bureaucratic perspective indicating that it is both antidemocratic and anti-egalitarian because of its technical and administratively determined conception of *hierarchy, subordination, and authority*. These rudiments are related to statements 2 and 18 in Table 2.

Role of Employees in an Effective Organization from the Bureaucratic Perspective

As opposed to Fayol's (1949) principals of organization which focused on control of disruptions caused by informal behavior, Weber (1947) maintained that all employees should hold only one job at a time, and *obey all rules and regulations established by the organization*. The thinking behind this element correlates with the deontological ethos that individuals will obey for the greater good and relates to statements 11, 27, and 64 in Table 2.

In the ideal bureaucracy employees are compensated with a salary and pension and are encouraged to remain in the organization for life. Weber (1947) *discouraged the termination of employees,* instead he suggested demotion and

salary decreases for those who did not meet organizational standards in productivity. Conversely, an *employee could be promoted* if it was recommended by a superior. These rudiments relate to statements 13 and 60 in Table 2.

Role of Hierarchy within an Effective Organization based on Bureaucratic Perspective

Weber (1947) recommends that a *written record be kept of all communication* and that the hierarchy within the organization be clear (23 in Table 2). Also in that vein, the ideal bureaucracy called for two rules to be followed for an organization to be effective. First, all *rules and regulations within the organizational structure should be clear* and strictly accepted and followed by employees (statements 18 and 38 in Table 2), and second, there should be complete commitment by *all employees to follow the hierarchical structure* (statements, 2, 54, & 57 in Table 2).

The hierarchical rule appears to be divergent with the nonprofit social welfare sector's historical informal structure and basic mission of volunteerism and community based services as posed by Lipsky and Smith (1989-90) who studied nonprofit organizations. These authors maintained that nonprofit social welfare organizations have historically focused on the ideology of neighbor helping neighbor, and have been forced to change their traditional image to that of a hierarchical, bureaucratic, institutional climate as a result of their dependence on government funding. Reed (1998) held that in this environment employees are seen as raw material unlikely to interfere with the hierarchy, and be well ordered productive societal members.

Because nonprofit social welfare organizations often receive monies from the federal government there is an increased need for compliance with bureaucratic government standards which generally include a hierarchical organizational structure, and requirements of uniformity in service provision and client characteristics. Reed (1998) suggested that the bureaucratic perspective is entrenched with the classical, scientific perspective which transforms social, moral, and political issues into engineering tasks with technical solutions. Lipsky and Smith (1989) argued that this transformation has substantially altered the intent of nonprofit social welfare organizations to supply services to specific clients based on certain characteristics such as ethnicity or place of residence. Additionally they posited that the availability of government monies has created vast differences in the climate of nonprofit social welfare organizations by adding the overlay of rules connected to the bureaucratic perspective. They reported that organizations founded in the true spirit of volunteerism are non-bureaucratic in structure, while many nonprofit social welfare organizations created as a result of the availability of government funds tend to be "rule bound, concerned with consistency, and highly responsive to the priorities of the government agencies whose grant programs were the occasion for their establishment and development in the first place" (p. 630).

Description and Measurement of Effectiveness Criteria Promoted by the Bureaucratic Perspective

To measure effectiveness via Weber's (1902/1947) perspective, Scott (1987) recommended that *effectiveness criteria be measured in terms of number*

and quality of outputs as well as the economies or profits of the transformation of inputs to outputs (statement 70 in Table 2).

In this respect, the goals of the organization are used to generate effectiveness criteria. Consistent with Scott, Robbins (1990) suggested that goal-attainment be utilized as an approach to the development of a pragmatic framework for assessment for organizations functioning under the principals of the bureaucratic perspective. According to Robbins the goal-attainment approach assumes that an organization's effectiveness is measured by the accomplishment of goals that the organization was created to achieve. Lipsky and Smith (1989) pointed to the fact that for some organizations created from federal monies, this would constitute following the goals generated by government (as the donor). In this vein, maximization of profits or achieving a certain number of productivity hours (as in some human services organizations) would be an example of this type of approach. Other assumptions include the idea that the actions of the organization are deliberate and rational (as with bureaucracy perspective), and that goals must be well defined and measurable.

There are obviously many drawbacks to the goal-attainment approach applied to social welfare institutions such as identification of goals and mechanisms to measure those goals. Within a nonprofit social welfare organization it becomes difficult to measure the bottom line because the organization is not supposed to profit from its service provision. Many nonprofit social welfare organizations continue to base their organizational structures on the bureaucratic perspective and the goal-attainment method of evaluation. As a

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result, the achievement of standard productivity hours has been identified in many nonprofit social welfare organizations as the primary objective from which to measure effectiveness.

Scott (1987), on the other hand, recommended that the level of analysis for measuring organizational effectiveness be based on a choice between rational, natural, and open systems perspectives. These perspectives, according to Scott, provide the groundwork for selecting the type of organizational unit for research to answer the question of organizational effectiveness. For instance, from a rational perspective the level of analysis would focus on individual participants, from a natural perspective the level of analysis would focus on the stakeholders within the organization itself, and from the open systems perspective the level of analysis would concentrate on the organization and the external environment. Scott noted difficulties utilizing the rational method as a framework for generating effectiveness criteria. For example, he suggested that social welfare organizations often develop vague and broad criteria to direct activities and extremely specific criteria for their evaluation. Scott indicated that by using this system, evaluation criteria draw attention and effort from the original objectives to a narrower set of goals embodied in the evaluation system. Scott also insisted that evaluation criteria within this perspective often focuses on more easily measured tasks and ignores others less readily counted. An example of these elements would be an employee being directed to provide case management services and having this objective evaluated on the number and timeliness of client visits, often referred to as productivity. Although the

bureaucratic perspective has these drawbacks, Scott maintained that rudiments identified in this document are vital to a high-quality nonprofit social welfare organization.

Analysis of the Human Relations Perspective

Norlin, Chess, Dale, and Smith (2003) maintain that the human relations perspective was born after aspects of bureaucratic perspective were found to be inaccurate. After the *Hawthorn Studies* initiated by Rothlisberger and Dickson (1939), many from the Harvard Business School decided to focus on an approach which would explain efficiency in production from something other than economic incentives. The *Hawthorn Studies* and several similar studies appeared to prove that humans working in an organizational environment can be motivated by social and psychological factors including positive attention from management. Norlin, Chess, Dale and Smith suggest that human relations perspective focuses on individuals' needs and their desire to form group relationships. They argue that this perspective looks at organizations from the perspective of a natural group created as a medium to suit social desires and to deal with stressful issues inherent within organizations.

Scott (1987) argued that a human relations perspective is considered to be a (natural) phenomenon in that social relationships are not formally organized as are elements of the rationalist bureaucratic perspective. To that end both Scott and Norlin, Chess, Dale, and Smith (2003) explain that human relations perspectives assume that rationalist features are overstated in their effort to explain efficiency in production. Although the literature points out that human

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relations perspective concentrates on integration and satisfaction of the internal units of an organization as opposed to the bureaucratic foci of structured features, both are closed systems. In actuality both human relations and bureaucratic perspectives have primary goals of survival of the organization as opposed to concentrating on the service provided by the organization. However their interests differ in that the rationalist gives attention to the order and control of the structures of the organization, while the naturalist is interested in maintaining the organization as a social system. Theorist from the natural perspective view goal changes as distorted unless they apply to the behavior of social groups.

Role of Employees in an Effective Organization from Human Relations Perspective

Norlin, Chess, Dale, and Smith (2003) point out the power of subsystems within organizations. Specifically, they note that individuals form relationships which impact worker motivation and effectiveness. Although Robbins, Chatterjie, and Canda (1998) promote the capacity of societal influence on individual behavior, they also agree that a human relations perspective promotes the concept of people interacting with their environments, specifically the organization. Adhering to that principle, Reed (1998) indicates that the human relations perspective sees employee social isolation and conflict as an evolutionary process occurring as a result of industrialization. According to Reed, the human relations perspective considers organizations to be intermediate social units designed to *integrate the individual worker into the modern industrial*

society creating interdependence and balance. This is thought to be strategically accomplished under *skilled and benevolent management*. These rudiments are related to statements 7, 8, 50, 56, 72, and 73 in Table 2.

The suggestion that an effective organization is defined in relation to its capacity to facilitate and sustain the social psychological reality of spontaneous, cooperative, and social stability in the face of an unstable society is echoed by Roethlisberger and Dickenson (1939) in their treatise on human relations perspective. They present a picture of the organization as a social system within itself which works toward homeostasis in a dynamic environment. Scott (1987) points out that human relations perspective is actually homeostatic, in that these scholars consider adjustment to dynamic changes to maintain the social environment within the organization and not necessarily to adjust goals to meet social change. Although Pareto (1935) was not associated with the original *Hawthorn Studies* he generated a perspective closely related to human relations. The perspective of equilibrating social systems discusses how problems with rates of social change can create imbalances in the organization or organism. These imbalances according to Pareto can be counteracted by different types of internal processes (such as *human relationships of employees*) which can then reestablish the system's balance. This rudiment is related to statement 28 in Table 2.

Reed (1998) indicated that as opposed to the use of planned processes promoted by the rationalists, the human relations perspective promotes emergent

structures such as *spontaneity and normative arrangements that are thought to ensure long term system stability* (statements 4, 22, & 31 in Table 2).

Finally, Norlin, Chess, Dale, and Smith (2003) highlight how human relation theorists see the economic and social needs of employees as necessary for optimum production. They point out that the personal needs of employees, particularly those associated with their employment are seen as paramount to organizational survival. To that end, they posit that the level of production in any organization is established by the social norm as opposed to physiological capacity or economic motivation.

Role of Management in Human Relations Perspective

Pelz (1952) found that the managers' relationships to their superiors wield powerful influence in the relationships between management and subordinate. This aspect is very important from the human relations perspective due to the importance of leadership as a mechanism for influencing the behavior of employees. Norlin, Chess, Dale, and Smith (2003) indicate that the role of management from the human relations perspective is to find and maintain the balance between employees and the formal organization. To do this effectively leadership characteristics are required.

Several studies have focused on leadership qualities. White and Lippet (1953) point out that workers perform better under democratic managers as opposed to authoritarian or laissez faire types of leadership. To better understand the idea of a democratic type of leadership Stogdill and Coons (1957) found that thoughtfulness and how employees were initially approached were

features of leadership in effective managers and were indicative of the democratic style of management.

Description and Measurement of Effectiveness from Human Relations Perspective

Scott (1987) pointed out that the primary goal of any organization from the human relations perspective is survival of the organization as a social system. As such, the human relations logicians have developed support goals that are primarily focused on participant satisfaction surveys to gage the contentment of members associated with the organization. The primary goal, again, with these queries is to assure survival based on the participant's willingness to contribute to the organization. The surveys are based on participant satisfaction as opposed to modification of services to meet societal change.

Analysis of General Systems Perspective

General systems perspective was developed because of the failure of rationalism and classical organizational theorists to deal with social integration and maintenance of social order in a more unstable world and is keenly focused on the *ability of the organization to interact with its environment*. Reed (1998) maintained that the ancestry of systems perspectives is grounded in the social, organizational evolutionism, and functionalism of Comte (1798-1857) as cited by Timasheff (1967), Saint-Simon (1859/1952), and Durkeim (1893/1949). These theorists wanted to combine authority and a feeling of community among members culminating in fellowship and civility (Reed, 1998). Robbins, Chatterjie, and Canda (1998) maintained that systems perspectives originated from a

positivist ethical paradigm but eventually separated from that ethos when they began emphasizing a holistic perspective. Norlin, Chess, Dale, and Smith (2003) concur with Robbins, Chatterjie, and Canda by indicated that the writers of systems perspectives wanted to detour from the rationalist's view of authoritarianism within organizations. Scott (1987) pointed out that systems perspectives fall under the umbrella of "organizations as open systems" providing a shift in focus from organizational structure to organizational process (p. 91).

Bertalanffy (1968) asserted that classical physics did not adequately describe order and organization from a biological perspective. Bertalanffy believed that there are parallel general cognitive principles which can be applied to many different fields. His concern is that each field of study such as economics and biology do not communicate the foundations of their scientific principles to one another, thereby creating a chasm of knowledge between the fields. Bertalanffy (1968) indicated that these individual fields have discovered their underlying principles independently of one another, and suggested that all fields ranging from physics to sociology should consider the unifying principle of general systems perspective.

Role of Benevolence and Management Skill within the Systems Perspective

According to Reed (1998) structural functionalists interpreters of the systems approach were vital from the 1950s to the 1970s. Reed pointed out that these writers dominated research in the organizational perspective arena which focused on the establishment of a combination of internal design and external conditions to facilitate growth and stability. Sztompka (1993) maintained that in

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the social systems archetype it was assumed that society would solve the problem of social order. Additionally it was assumed that social order depended on the idea that the whole of human history has a unique meaning underlying the multitude of seemingly haphazard and unconnected events.

Sztompka (1993) insisted that systems perspectives allow organizational scholars to predict and explain *internal dynamics* and *institutional consequences*. The rudiments of internal dynamics and institutional consequences relate to statements 30 and 34 in Table 2. This is consistent with Reed's (1999) assumption that by utilizing the *strategy of a benevolent and skilled management team to deal with conflict, employees would be integrated into the broader organization* (statement 41 in Table 2).

Description and Measurement of Effectiveness Criteria Promoted by the Systems Perspective

Tthe basic premise of general systems perspective lies within the principles of open systems, likened by biologist Bertalanffy (1968) to those of living organisms that exchange matter with their environments. He contrasted this to the closed systems inherent in conventional physics, and insisted that the perspectives, principles, and laws (the nature of component elements and the relationship between them) that applied to generalized open systems were applicable to all fields of study including organizations. Wiener (1956) maintained that an organization should be considered as an entity that generates degrees of interdependence between its organized parts. Within the nature of relativism, Scott (1987) pointed out that this interdependence changes from rigid to loose

depending on the nature of the system. For example, in a mechanistic system the interdependence between the parts is inhibited due to a rigid structure. This representation is in contrast to an organic system which has less constrained interdependence between parts. The organic system is much like the human system within an organization. Scott claimed that associations of group networks within an organization develop into loose structures giving the organization less control of the behavior of the group.

The properties of general systems perspective as described by Bertalanffy (1968) involve structural similarities in different fields and involve the same mathematical law in all environments. Because of these elements, he proposed that general systems perspective could be used in the modern sciences to provide a general perspective of organizations in quantitative terms. As Robbins, Chatterjie, and Canda (1998) pointed out, general systems perspective was initially generated from a positivist ethical perspective.

Bertalanffy (1968) utilized the general systems perspective to observe behaviors with the delimitations of not only looking at events in isolation, but at the dynamics of those behaviors aend how they manifst into higher order configurations affecting the whole. Bertanlanffy's goal was to create a perspective that would unify principles of science in all fields. Buckley (1967) argued that the development of complex systems can be symbolized by considering mechanical systems that serve to generate energy, compared to higher level systems such as *human beings who tend to depend more on communication of information* (statement 35 in Table 2). This scenario highlights

the intricate evolution of flow between system elements from a mechanistic to a humanistic perspective.

The general systems perspective involves the description of the open system and its dynamics. Bertalanffy (1968) contended that all organisms have inflow from their environments, a building up and breaking down of components, (throughput) and an outflow. Within the framework of this process, several phenomena come into play such as equifinality, negative entropy, homeostasis, transformation and communication processing, boundaries, goals, feedback and relationships. The phenomena are particularly applicable to the organizational perspective since all organizations strive to be open systems. Boulding (1956) expanded on Bertanlanffy's assertion and classified systems by their level of complexity within the relationship of their parts. His system types include the following:

1.   *Frameworks* – systems containing inert configurations.

2.   *Clockworks* – dynamic systems with predetermined motions (clock).

3.   *Cybernetic systems* – systems capable of self regulation (thermostat).

4.   *Systems* – systems capable of self maintenance based on environmental throughput (cell).

5.   *Blueprinted growth systems* – systems that reproduce by the production of seeds (preprogrammed instructions such as a chicken).

6.   *Internal image systems* – systems capable of a detailed awareness of the environment and capable of organizing information into an image of the environment as a whole (animals).

7.   *Symbol processing systems* – systems that possess self consciousness (humans).

8.   *Social systems* – multicephalous systems comprising actors functioning at level 7 who share a common social order (organizations).

9.   *Ttranscendental systems* – systems composed of absolutes (the earth is round).

Boulding's typology further accentuates the relativistic nature of the systems perspective.

Robbins (1990) specified the systems approach in the identification of organizational effectiveness, and maintained that although end goals are not ignored, they are viewed as only one element in the process of determining organizational effectiveness. Robbins pointed out that the underlying assumptions to this approach in diagnosing effectiveness are to initially address organizations as consisting of interrelated subparts. He incorporated Bertalanffy's (1968) notion that if one part experiences difficulty, then the system as a whole is affected.

Scott (1987) stated that information gathering and processing is viewed as an especially important activity within this perspective because of the *organization's need to be aware of and react to changes within its operating environment* (statements 17, 20, 24, 26, 37, 39, & 40 in Table 2).

Robbins (1990) concurred with Scott (1987) by pointing out that the systems approach to organizational effectiveness includes an awareness of and successful interactions with the organization's environment. He maintained *that*

communication with all stakeholders is necessary to maintaining homeostasis or

stable operations within the organization (statements 12, 14, 25, 42, 44, 45, 49,

59, 61, 62, 78 & 79 in Table 2). *If resources needed by the organization from*

other agencies or the community are withheld due to difficulty in communication,

the company faces a state of disequilibrium and possible disruption (statements

5, 10, 16, & 69).

Bertalanffy's (1968) framework of inputs, throughputs and outputs supplies

a perfect overlay to understanding the necessity of long term planning to assure

smooth operations without focusing solely on the bottom line. *Long term planning*

is associated with the process that organizations use to accomplish its goals

(statement: 51 in Table 2). Therefore, organizations utilizing this method are apt

to look at *various characteristics within the organization* such as the age of the

employees, average years of employment for personnel as well as fiscal policy

and service to stakeholders. Yuchtman and Seashore (1967) promoted the *ability*

of the organization to acquire resources as a primary element of organizational

effectiveness from the systems perspective, while Weik (1977) emphasized

flexibility, adaptability, and profitability as essentials of organizational

effectiveness within the systems perspective (statements 15, 21, 29, 32, 33, 36,

60, 70, 71, & 80 in Table 2). Again, proponents of this approach are concerned

with goals, but question the validity of the goals and the measures used to

assess progress toward them. Robbins (1990) recommended that this approach

be considered in diagnosing organizational effectiveness when there is a clear

connection between inputs and outputs.

Although the term nonprofit has connotations of lessening the importance of the bottom line, organizations run on budgets to pay salaries and overhead costs. In the case of nonprofit social welfare organizations, state Medicaid block grants and other federal monies are generally a key element in funding. Although states vary in their method of distribution of funds, they are often regulated and dispersed by boards either on the local or regional level and distribute funds based on a variety of factors including employee productivity hours. Since the human element is also a factor within these boards, relationships between board members and the organization's administrators can play a primary role in funding decisions. General systems perspective provides a template of organizational design and a structure for assessing organizational effectiveness. Its constructs provide a mechanism to consider many aspects of input, throughput, and output including employee productivity hours and *a priori* relationships between organizational administrators and donors. With regard to research methods, Scott's (1987) open systems perspective utilizing the external social system as the level of analysis appears to be an appropriate application within the general systems perspective. According to Norlin, Chess, Dale, and Smith (2003) such research provides a bridge between the bureaucratic and human relations perspectives by allowing the social welfare employee to "employ narrowly focused perspectives suited to specific practice situations" (p. 295). Norlin, Chess, Dale, and Smith see systems perspective as an approach or bridge to unify knowledge bases for the advanced practice of social welfare administration.

Analysis of the Contingency Model of Systems Perspective

Reed (1998) placed the contingency model in the same narrative interpretive framework as systems perspective. By placing the contingency model under the framework of integration, Reed argued that the overarching problematic theme guiding this model is that of consensus. Scott (1987) agreed with Reed that the contingency model should be categorized as an open system that is focused on organizational integration and consensus building. Scott also placed the contingency model in the capitalist-to-welfare context noting the focus of this perspective on the broad and perplexing range of tasks provided by organizations.

Simon (1947) is a principal in the contingency movement. He advocated for a progression beyond a bureaucratic perspective toward a more in-depth study of organizations within their environmental contexts. However, Katz and Kahn (1966) expanded on Simon's (1947) perspective forcing it into the general systems perspective. In this way emphasis is placed on defining which organizational structures prove to be the most effective within varied environments. This approach gives credence to consideration of environmental factors such as *technology, employee qualifications, culture, and politics among other elements in assessing if an organization can be effective within its environment* (statements 46, 52, & 53).

Within these constructs it is also similar to general systems perspective, although the emphasis is different. The contingency model assesses those elements in the environment that could threaten an organization's survival.

Robbins (1990) offered an example by pointing out that public universities usually consider effectiveness by enrollment and not by potential employers of students. Weik (1969) argued that organizations should not be looked at as solid units; instead, he maintained that they should be considered for the transactions that transpire within them. Indeed, Bateson (1972) concurred with Weik and insisted that "the word organization is a noun and is also a myth" (p. 334). Expanding on this premise, Weik maintains that the activities of organizations are paramount and should be narrowed to a range of "might occur" possibilities. He promoted the idea of organizational activities focusing on a "workable level of certainty" (p. 40).

Role of Employees in Effective Organizations from the Contingency Model

Griffith (2003) studied organizational perspectives to develop a framework from which to measure the effectiveness of schools. He identified activities that each perspective incorporates to analyze what organizations value in their environments and what they consider important outcomes. Griffith reported that the measurment features of the contingency model of the systems perspective were "consistent with the concepts of empowerment, innovation, and collective efficacy, which have been associated with positive work performance, job satisfaction, and organizational commitment . . . which in turn contribute significantly to higher student achievement" (Griffith, 2003, p. 41). Griffith's framework incorporates a condition of *if – then* highlighting how each concept is related to the next. For example, *if* practitioners feel empowered, *then* they will have a sense of job satisfaction, and if practitioners feel a sense of job

satisfaction, clients will achieve their goals at a higher rate (statements 9, 47, 47, 55, 58, & 75 in Table 2).

Greenley and Schoenherr (1981) reported that higher levels of client and employee satisfaction were found in organizations with higher levels of interagency communication and where staff members have *greater role discretion in their jobs* (statement 68 in Table 2). In this study "role discretion" is an indicator of the lack of bureaucracy. As Greenley and Schoenherr pointed out, role discretion "measures the ability to make autonomous work decisions, including how to handle applicants for services" (p. 10).

Role of Form in Management Design in an Effective Organization from the Contingency Model of Systems Perspective

Although there are varying theoretical paradigms utilizing elements from the contingency perspective, Lawrence and Lorsch (1967) appear to be the originators of the tag contingency model. They maintained that since there is no right or wrong way to organize a model, one should look to the environment to find the best internal match. Lawrence and Lorsch said that the interior structure of an organization can be characterized by the level of formalization required for management and administration. They also consider issues such as the level of concern of participants regarding long and short term outcomes. Their interpretation of the environment or natural world includes differentiating between environments that are in rapid flux versus placid and stable. Scott (1987) stated that "the more homogeneous and stable the environment the more appropriate will be the formalized and hierarchical form (bureaucracy perspective). And the

more diverse and changing the task environment, the more appropriate will be the less formalized and more organic form (general systems perspective)" (p. 96). Lawrence and Lorsch (1987) proposed that highly formalized organizations have structured systems of administration and precise goals as opposed to the less formalized organizations that focus on personal quality.es of participants and are diffuse in their agreement on goals (statement 67 in Table 2).

Description and Measurement of an Effective Organization Promoted by the Contingency Model of Systems Perspective

To describe and evaluate organizational effectiveness from the contingency model, the strategic approach described by Pfeffer (1981) and Hickson (1971) is included in this discussion. This approach departs from the method proposed by Lawrence and Lorsch (1987). Fundamentals of the contingency model include the conceptualization that various challenges in the organizational environment could result in structural differentiation due to the dynamic qualities of organizational participants. Both Pfeffer and Hickson maintained that when the organizational environment is affected by indeterminate circumstances, subunits will emerge in response and often carry their own power structures and interests. Hickson (1971) argued that subgroups in organizations obtain power from their colleagues by successfully dealing with uncertain situations, thereby contributing to stability and survival of the organization. By these actions insecurity is decreased among workers and trust (power) is conceded by co-workers to the successful subgroups.

Power is essential in employing Scott's (1987) model of assessing organizational effectiveness from the contingency model. According to Scott, within open systems and specifically from the contingency model, effectiveness criteria will be generated by stakeholders and organizational participants. As a result of this data collection method, there is scant cohesion in stakeholders' assessing effectiveness due to their specific interests. Friedlander and Pickle (1968) reported a pattern of low to negative correlations on a consensus of elements of organizational effectiveness.

Scott (1987) indicated that non-market organizations whose initiation came from the public sector are increasingly becoming privatized and expected to pay their own way. He surmised that the privatization of public entities occurs in response to the taxpayers desires to see greater efficiency and effectiveness (outcomes) of services as a result of competition. However, Scott asserted that reliance on the market presumes that consumers can evaluate the quality of services being provided. He argued that such an assumption is not reasonable for many types of organizations such as social welfare institutions, and declared that non-market organizations came into existence because of the lack of a mechanism to measure quality in non-market service provision.

Establishing criteria for organizational effectiveness cannot be achieved by an objective process. Scott (1987) held that because of the enormity of organizational types, functions, and constituent interests, *relative* rather than *absolute* performance standards should be utilized. Scott also recommended that studies to define criteria for organizational effectiveness cannot be accomplished

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by an apolitical process, and that criterion studies must incorporate indicators from several possible types of organizations so that performance is compared against others carrying on similar work. The contingency model appears to provide an excellent overarching approach to Scott's contention that the interest of the primary constituencies should provide the impetus for measurement.

Each of these perspectives can be used to define effectiveness, but the skilled evaluator should examine each approach in terms of what the organization has identified as its structural type and goals, and in the framework of specific environmental issues and changes. The literature clearly shows that there is no consensus about what activities and outcomes constitute organizational effectiveness. Organizations provide a variety of functions to an inordinately large and diverse consumer base. Organizations are located in urban and rural areas, and subject to operating standards required by their funding sources, and to cultural standards and norms of the areas they serve. Dornbusch and Scott (1975) recommended that performance evaluation consist of conforming factors regardless of the organizational structure. These evaluation criteria encompass fundamentals such as identifying dimensions, setting standards, employing indicators based on the work sampled, and a comparison of the work sampled with an established norm. Thompson (1967) provided a prototype to guide assessment of evaluation criteria:

> If standards are clear and cause-effect relations are known, then efficiency
> test are appropriate. Such tests assess not simply whether a desired
> effect was produced but whether it was done so efficiently—that is, with a

minimum of inputs. If standards are clear but cause-effect relations are uncertain, then instrumental test are suitable. These tests ascertain only whether the desired state was achieved and do not demand conservation of resources. When standards of desirability are themselves ambiguous, then the organization must resort to social tests. Social tests are those validated by consensus or by authority. Their validity depends on how many or on who endorses them. Organizations operating in institutionalized environments are likely to depend on social tests for assessing their effectiveness. (p. 47)

Thompson's guide provides a strong argument for using a social test in this research, because the standards of desirability associated with a definition of organizational effectiveness are ambiguous and require validation by consensus.

Scott (1987) advocated for a pattern of evaluation that includes choosing measures based on outcomes, processes or structures, and selecting samples based on the focus of either the organization's work performance or the broader question of whether the organization is focused on the right program. Reinhardt (1973) indicated that these perspectives are known as micro quality and macro quality. Scott maintained that the study of a service organization's micro quality would assess quality of structures, processes, and/or outcomes as experienced by clients. Macro quality determines whether the appropriate services were being provided and the proper clients receiving the services. Scott additionally suggested that given the varied meanings and measures of effectiveness, general explanations that distinguish effective and ineffective organizations are

not achievable. He recommended that the contingency model is best suited to grasp the limited measures of specific aspects of organizational structures, processes, and outcomes. Scott declared that the *organizations expected to be most effective are those with internal structures that best match their tasks environment*. An example of this is the organizational goal of low staff turnover. The relationship of internal structures that match low staff turnover is related to issues of case loads, competitive salaries, and having organizational leaders who are respected (statements 1, 3, 6, 54, 65, 66, & 74).

Focus of Statements

Of the 80 statements gleaned from the three perspectives, and indicative of nonprofit organizational effectiveness, only four pertained to the perspectives of the clients themselves. They emerged from the general systems perspective:

20   Clients reach their goals,

39   Clients feel respected,

44   Clients are satisfied with the convenience of services, and

49   Clients are satisfied with the cost of services.

The rest focused on the funding environments of the organization, what the organization would provide to the clients and staff such as training and viewing clients as stakeholders respectively, and what the staff would provide to the clients such as returning phone calls. Out of 80 statements 15 are extrapolated from the bureaucratic perspective, 11 from the organizational level, and 4 on the staff level. There were no client level statements from the bureaucratic perspective. The literature on the human relations perspective produced 10

exclusively based on staff interactions, and the general systems perspective produced the most statements at 38. Within the general systems perspective, 5 are based on the staff level; 29 on the organizational level, and 4 on the client level.

The contingency model yielded 18 statements with 13 from the organizational level and the staff level 5. No client level statements were extrapolated under the contingency model. Three statements were duplicated:

54   *The community respects the organization's leaders* (Bureaucratic & Contingency Systems perspectives);

60   *Low staff turnover* (Bureaucratic and General Systems), and

70   *The organization provides quality services* (Bureaucratic & General Systems).

These statements appear to support the idea that processes within organizational structures are vital to positive outcomes for clients and therefore constitute a key element in the definition of nonprofit organizational effectiveness.

Competing Values Approach as an Evaluative Framework

With regard to the contingency model of systems perspective, Robbins (1990) recommends utilizing the "competing-values approach (CVA)" (Quinn and Rohrbaugh, 1981, p.122) as a method to evaluate organizational effectiveness. The competing-values approach assumes that there is not an ideal indicator of organizational effectiveness, and leaves the selection of evaluative criteria such as constituencies and statements indicating effectiveness (Table 3) primarily to the evaluator.

Table 3

Constituencies and their Plausible Statements about Organizational

Effectiveness

Constituency	Typical Statements
Owners	Good return on investment Clear growth in earnings
Employees	Adequate compensation and fringe benefits Satisfaction with working conditions
Customers	Satisfaction with price, quality, and services
Suppliers	Satisfaction with payments and future sales potential

The competing-values approach of assessing organizational effectiveness

is a process. The evaluator can identify and then isolate constituencies that are

powerful within organization(s) and are essential to organizational survival. The

next step is for these isolated constituencies to place a worth on the importance

of statements that are generated from the literature regarding organizational

effectiveness criteria. The ratings are transformed into concept sets or themes

utilizing multidimensional scaling. The themes or concept sets encompass

various dimensions of an organization's structure such as means versus ends, or

people versus organization which forms the basis for the generation of criteria to

evaluate organizational effectiveness and corresponding definitions. The themes

are then developed into models based on theoretical perspectives. The models

consist of cells that place emphasis on factors such as people and flexibility or

cohesiveness and having a skilled work force. These models are indicative of:

The human-relations perspective; open-systems perspective; rational-goal

perspective; and internal process perspective which has elements consistent with the contingency model (Robbins, 1983). This process and the development of a perspective requires that constituents be interviewed using a standard questionnaire to help structure concepts about the constituent's thoughts. The competing values approach provides information about which concepts stakeholders perceive as most important to a definition of organizational effectiveness, and are measured on how healthy these elements are within the organization. Robbins (1990) recommended that this method be incorporated when stakeholders are unclear about what they value within their organizations. For this study, the stakeholders are board members of the Kentucky Social Welfare Foundation. They are interested in generating a definition of nonprofit social welfare organizational effectiveness to inform their funding decisions.

Considering the paradox and contradictions in nonprofit social welfare organizations in tandem with the conceptual and measurement ambiguities, Quinn and Rohrbaugh's (1981) competing values approach provides an outstanding concrete perception of organizational effectiveness from the standpoint of contingency model of systems perspective. It additionally provides an excellent method to examine the differences in the values underlying the multidimensional concept of organizational effectiveness.

Quinn and Rohrbaugh (1981) used this approach when they initiated an exploratory study on Campbell's (1977) 30 indices of effectiveness. They utilized a multivariate method of investigation to query the cognitive structure of organizational theorists asking the question "How do individual researchers

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actually think about the construct of 'effectiveness?" Clearly, their problem was conceptual in nature. The researchers reported using multidimensional scaling as the tool to transform statements (which were rated on their value to an effective organization by stakeholders) into a diagram highlighting the statement themes or concepts (Table 4). As seen below in statements relating to cells PFM (people, flexibility, and means) and PFE (people, flexibility and ends) are subsumed under the human-relations model. It emphasizes people and flexibility. The human-relations model would define organizational effectiveness in terms of a cohesive and skilled work force.

The researchers found that the statements signifying an effective organization were focused on either people or the organization and emphasized either flexibility or control. Further, the researchers found that the statements were oriented toward the process or means to goal achievement, or the goal or end. Themes or concept sets were then combined based on their location on the diagram. The combination of themes or concept sets culminated into eight sets of organizational effectiveness criteria and their corresponding definitions. A model emerged from their research (Figure 2) which is based on two axes: (a) the *system*, or organizational structure, utilizing the concepts of flexibility versus control; and (b) the *user*, or the primary focus of an organization (sometimes the staff, sometimes the clients, and sometimes the organization). Quinn and Rohrbaugh (1981) maintained that the components of the competing values method in generating a definition of organizational effectiveness require the investigator to initially identify principal organizational stakeholders such as

Table 4

Themes or Concept Sets Combined to Develop a Description of

Organizational Effectiveness Criteria and Related Definitions

Cells	Description	Organizational Effectiveness Definitions
Organization, Flexibility, Means (OFM)	Flexibility	Able to adjust well to shifts in external conditions and demands
Organization, Flexibility, Ends (OFE)	Acquisition of Resources	Able to increase external support and expand size of
Organization, Control, Means (OFM)	Planning	Goals are clear and well understood
Organization, Control, Ends (OCE)	Productivity and Efficiency	Volume of output is high, ratio of output to input is high
People, Control, Means (PCM)	Availability of Information	Channels of communication facilitate informing people about things that affect their work
People, Control, Ends (PCE)	Stability	Sense of order, continuity, and smooth functioning of operations
People, Flexibility, Means (PFM)	Cohesive work force	Employees trust one another, and respect and work well with each other
People, Flexibility, Ends (PFE)	Skilled work force	Employees have the training, skills, and capacity to do their work properly

managers, service providers, and clients about what is important in an effective organization. Statements identifying essential elements of effectiveness are then generated either from stakeholders themselves or from the literature. Data collection is designed to query the stakeholders about the importance and utility of the statements to their organization. The model that emerges subsequent to data analysis will guide the definition of effectiveness and will be directly linked to the input from stakeholders.

**FOUR MODELS OF ORGANIZATIONAL
EFFECTIVENESS**
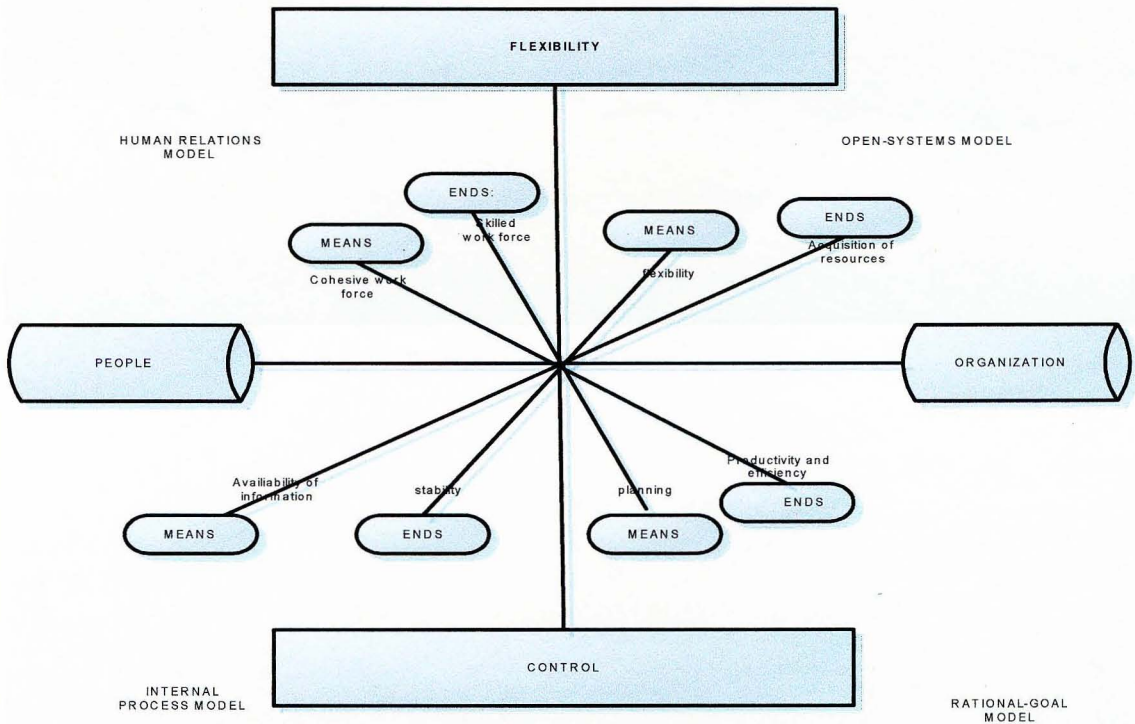
Figure 2. **Four models of organizational effectiveness.**

Slack (1997) maintained that the competing values approach takes into
consideration the variety of stakeholders and their criteria to judge organizational
effectiveness. Slack also states that the approach has been carefully researched
with high validity and reliability, and points out that the most difficult aspect of
CVA is "determining which constituents are important, and then measuring the
criteria they value and use in determining effectiveness" (p. 34).

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Based on the literature, the contingency model of systems perspective was chosen as the most applicable perspective to guide the task of defining organizational effectiveness. The competing values approach provided an excellent fit to the contingency model of systems perspective as a method for stakeholder evaluation of organizational effectiveness criteria. The competing values approach was initially designed as an evaluation mechanism for individual organizations. The goal of the competing values approach was to evaluate organizational effectiveness criteria based on stakeholder valuations and was developed based on the recommendations of organizational scholars Although the competing values approach suggest that the method of evaluation include: (a) statements generated from a literature review; (b) quarrying primary stakeholders about their values of the statements during focus groups; and (c) the use of multidimensional scaling for data analysis, it does not specify an exact research method that considers all of these rudiments. An additional issue arose in the consideration of using this approach in that the Kentucky Social Welfare Foundation study was focused on a macro (state) level of analysis. Concept Mapping was chosen for a research method that would meet all of the targeted competing values approach conditions and provide a research method and statistical techniques which would allow analysis on a macro level.

Conclusion

What constitutes a definition of organizational effectiveness? The above perspectives inform the definition of organizational effectiveness within the confines of their assumptions. In the vein of the contingency model of systems

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perspective, Robbins (1990) suggested that the definition of organizational effectiveness should be considered in a relevant manner, and should be generated based on three considerations: (a) how the organization's process and goals reflect the desires of the strategic constituencies, (b) how the organization attains its means and ends, and (c) how a and b above relate to the organization's structure. Robbins' proposal has broad consensus among organizational scholars. It also connects to the perspectives of (a) *bureaucracy* which is focused on means and ends or *goal achievement*, (b) *human relations* which is focused on maintaining organizational (*system*) processes, (c) *general systems* which is focused on how the organization (*system*) interacts with its *environment, and* (d) the *contingency model* which is focused on the reflection of strategic constituencies or stakeholders (*users*),

It is clear that the definition of nonprofit organizational effectiveness will be *relevant* to specific organizational goals and structures. The literature specifically identifies 80 rudiments which are related to goal achievement, the system meeting the user's needs, and how the organization interacts with its environment. These rudiments have all been identified as critical to effective organizations. These rudiments were generated into statements throughout the literature review, and will be seen in their entirety in Chapter III.

Plainly, a framework was needed to guide stakeholder evaluations of the statements in an effort to further define effectiveness relative to Kentucky nonprofit social welfare organizations. Stakeholder judgments of the 80

statements were used to generate an evaluation mechanism for the Kentucky

Social Welfare Foundation.

CHAPTER III

METHODOLOGY

This chapter describes the methodology followed to answer research questions 3, 4 and 5:

3   How do the different stakeholders (administrators, practitioners, and clients) rate the different statements derived from the literature on organizational effectiveness?

4.   How can stakeholder ratings of the statements be used to frame organizational effectiveness from a stakeholder's perspective?

5.   How can the literature and stakeholder ratings be used to inform the Kentucky Social Welfare Foundation on how a grant application should be written and evaluated to assure that effective organizations receive money from them?

Influences on Methodology

The above questions began to gain clarity after employing the attributes of the competing values approach. It became evident that the competing values approach offered an evidenced based method from which the answers to these questions could be obtained. However, the level of analysis would be focused on a macro or state level as opposed to a mezzo or organizational level requiring techniques that would provide for inquiry and analysis on a broader scale.

After several meetings with the Kentucky Social Welfare Foundation Board Members, it was determined that the mechanism needed to evaluate nonprofit social welfare organizational effectiveness in Kentucky should come in the form of a grant application and evaluation tool. A determination was also made based on the competing values approach—that the Concept Mapping System would be the most suitable research method for these tasks.

Based on information extrapolated from the literature review, nonprofit social welfare organizations often have ambiguous standards for effectiveness. Thompson (1967) maintained that since ambiguous standards of effectiveness are often practiced within institutional environments, organizations must resort to social tests to identify effectiveness criteria. He indicated that effectiveness criteria in these organizations must be validated by consensus or by authority. The validity of the standards will depend on how many and who endorses them. This notion provides the connection of the initial research questions regarding the elements of nonprofit social welfare organizational effectiveness as identified by nonprofit social welfare organizational stakeholders to a research method that incorporates *social tests.*

Quinn and Rohrbaugh's (1981) competing values approach contributed insight regarding the criteria required in the research method for this study. Quinn and Rohrbaugh utilized a multivariate method of investigation to query the cognitive structure of organizational theorists asking the question "How do individual researchers actually think about the construct of 'effectiveness'?" As a result of the goals identified in the social welfare study being so closely

associated with the goals of the Quinn and Rohrbaugh study, a decision was made to employ the assumptions of the Quinn and Rohrbaugh research design. These assumptions were that the research method (a) provide a means for social tests, (b) provide a mechanism to query stakeholder's cognitive structure regarding the concept of nonprofit social welfare organizational effectiveness, and (c) would employ multidimensional scaling data analysis techniques to identify a unified set of indicators of nonprofit social welfare organizational effectiveness. These indicators could then be used to frame a definition of nonprofit social welfare effectiveness in Kentucky and ultimately culminate in the development of a grant application and evaluative tool to be used by the Kentucky Social Welfare Foundation.

Concept Mapping

The Concept Mapping System (Trochim, 2003) was the methodology chosen for this study due to meeting the assumptions discussed above. Concept Mapping utilizes a qualitative methodology at the outset of the process, highlighting the necessity of participant input. The evaluator identifies stakeholders that are powerful within organization(s) and are essential to organizational survival. Identified stakeholders then place a worth on the importance and feasibility of statements (with regard to their organization) which are generated from the literature on organizational effectiveness.

The methodology provides a mechanism which helps to focus and objectify the group process. It also helps individuals think as a group without

losing their individuality and assists groups in managing complexity without trivializing or losing detail.

The Concept Mapping method (Trochim, 2003) is an excellent pragmatic parallel to the competing values approach. Concept mapping takes into account all of the steps identified in the competing values approach and includes a statistical program to quantify qualitative data. Concept mapping uses multidimensional scaling and other analytic tools in the analysis of data, concurrent with the recommendations of Quinn and Rohrbaugh (1981).

This method applied here requires that the 80 statements (independent variables) indicative of effective organizations that were gleaned from the literature be numbered and placed on individual index cards. Stakeholder participants are asked to sort the cards in a way that makes sense to them, and then label the stacks of sorts to signify the theme of the stacks. Stakeholder participants are then asked to rate the statements by importance and feasibility for effective organizations (dependent variable) using a 1 – 5 Likert scale. The Concept Mapping System process places all participant input into a common framework in order to aggregate the information. Concept Mapping (Trochim & Cabera, 2005) uses a square similarity matrix to organize the input for multidimensional scaling which is a robust form of factor analysis. The output is generated by merging aggregated statement sorts (variables) which are represented on a plot. The variables (statements) form a swarm in which statements that are correlated with one another form clusters of points. Distances between points on the plot are analyzed with Ward's (1963) algorithm to

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ascertain *stress* which is the measurement utilized in this technique as opposed to the percentage of variance explained.

The identification of organizational effectiveness factors requires two candidate models. One model is generated from multidimensional scaling and represented through four visual map depictions, and the other is generated using multidimensional scaling output as input to analyze hierarchical or nested clusters (agglomerative hierarchical cluster analysis) which include all of the lower effects contained in the highest order association retained in the point map model. The visual depiction of clusters provides the multidimensional space required by multidimensional scaling to describe the relationship among variables (statements). The multidimensional space is represented by placing parameters around the point clusters generated in the initial analysis. What emerges from this analytic technique are shapes, coined *maps* that encompass the variables (statements) and which are differentiated by labels generated using the same multidimensional scaling process that was used to analyze statement sorts. Essentially, Concept Mapping uses a combination of multidimensional scaling, agglomerative hierarchical cluster analysis with Ward's algorithm, bridging analysis, sort pile and go zone analyses to develop representative maps, pattern matches, and bivariate plots to visually describe the results.

Using integrated methodologies, the Concept System analysis represents ideas visually through the following mathematical structures: Multidimensional scaling to develop point maps, bridging analysis to develop point bridging maps (point maps with stress values), agglomerative hierarchical cluster analysis that

uses point map input to generate representative maps indicative of the placement of statements on a plot; sort pile label analysis that finds the best fitting label for each cluster using multidimensional scaling and a centroid computation (x + y values; average x values; average y values and plot into the center of the cluster; Trochim, 1989); cluster rating, which is a computation of the mean of rating scores and represented as layers on cluster maps; pattern matches which depict correlations of variables (statements) based on importance and feasibility; and "go zone analysis" which uses multidimensional scaling to assess variables (statements) in each cluster and represents them on a bivariate plot signifying which variables (independent variables, or statements) are both important and feasible to the dependent variable (the concept of organizational effectiveness).

Concept Mapping Procedures

Sampling

Scott (1987) recommended that a sample be chosen from stakeholders who posses knowledge of their organizations' performance measures that can be compared with others doing similar work, as suggested in both the competing values approach and concept mapping. In this case stakeholders were identified as agency administrators, practitioners, and clients of all nonprofit social welfare organizations in Kentucky. The result was a sampling frame including all organizations that had applied for funding from the Foundation within the last three years. Because these numbers were duplicative to an extent, 70 organizations were sampled from the KWSF applicants, and an additional 80

organizations were selected from the Guide Star database of non-profit human services organizations via a stratified random sample for a total of 120 organizations, representing approximately 5% of Kentucky's non-profit human services organizations. The stratification was by Kentucky's Area Health Education Centers (AHECs), and this researcher oversampled from smaller rural areas to make sure each area was well represented. Invitations were sent to agency administrators and practitioners, and administrators were asked to invite at least one client to participate from each of their agencies.

Data Collection Methods

Focus groups. Participants were invited to attend focus groups held in 7 of the 8 AHEC locations (Figure 3), and included administrators, practitioners, and consumers of services of agencies in the sampling frame. The North Central AHEC located near Lexington, Kentucky had a center located at the University of Kentucky (UK). Consequently, the UK site hosted the focus groups for both areas in that region (Table 2).

Demographic questionnaire. Participants were asked to complete a demographic questionnaire (Appendix A) describing some of their organization's characteristics: (a) the participant's role in the agency, (b) the number of employees in the agency, (c) primary funding of the organization, (d) whether the organization is accredited or licensed by a regulatory agency, and (e) what type of services their organization provides.

Sorting statements. In concert with the competing values approach, the concept mapping method recommends that initial statements be gleaned from

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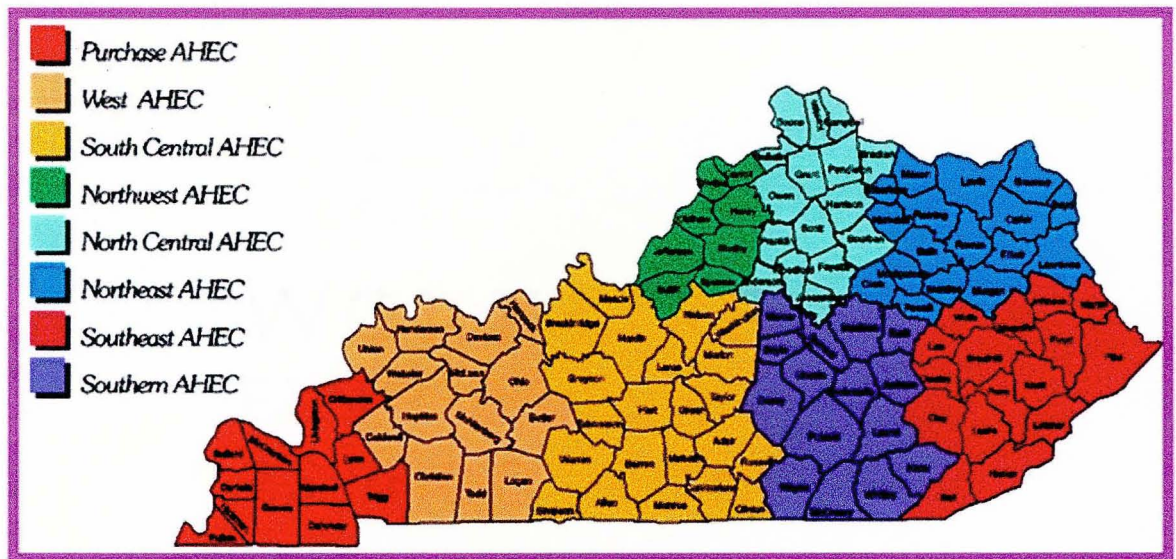
Figure 3. **Kentucky Area Health Education Center (AHEC) Region.**

Table 5

Crosstabs of Sampling Frame by Region

AHEC REGION	FUNDING		TOTAL
	Yes	No	
Purchase	2	3	5
West	3	8	11
South Central	6	6	12
Northwest	16	23	39
Southern	4	3	7
North Central	13	14	27
Southeast	6	8	14
Northeast	4	1	5
TOTALS	54	66	120

the literature or from stakeholders. For this study, 80 statements (Table 3) were

extracted from the concepts in the literature to answer the question: *What are*

Table 6

Statements by Sort Number

#	Statement from the Literature
1	The organization uses outside trainings to stay abreast of current practices.
2	Communication occurs from the top down.
3	The organization pays competitive wages and salaries.
4	Staff members have freedom to make decisions.
5	Staff members return phone calls promptly to staff at other agencies.
6	The organization uses evidence-based practices to serve clients.
7	Staff members are satisfied with their jobs.
8	Managers are available for support.
9	Staff members feel like they are part of a team.
10	The organization has the resources it needs to adequately provide services.
11	Staff members feel committed to the organization's mission.
12	The organization communicates with the community through advertisement of services.
13	The organization offers opportunities for staff to be promoted.
14	Staff members listen to the concerns of clients.
15	The organization is always looking for new funding sources.
16	The organization works cooperatively with other community agencies.
17	The organization provides services that are actually needed.
18	The work environment feels organized.
19	Staff members are qualified.
20	Clients reach their goals.
21	The organization spends money responsibly.
22	Staff members participate in the change process.
23	Staff members keep thorough records.
24	Interests of stakeholders are important.
25	Employees contribute to the decisions that are made.
26	Hours of operation match needs of clients.
27	Everyone knows the organization's mission.
28	Staff members get along with each other.
29	The organization has adequate funding.
30	Staff members feel that they are treated fairly.
31	Staff members try new ways of doing things.
32	The organization constantly develops multiple funding sources.
33	The organization has a low rate of absenteeism.
34	The work place is pleasant.
35	There is a high level of interagency communication in the organization.
36	Spending is controlled.
37	Services are changed to adapt to changes in the community.
38	The organizational mission is clear.
39	Clients feel respected.
40	Services are affordable to clients.
41	Conflict is handled openly.
42	Staff members return phone calls promptly to clients.
43	Staff morale is generally good.
44	Clients are satisfied with the convenience of services.
45	The organization fills an important role in the community.
46	Staff members are well trained.
47	There are low rates of injury at the organization.

Table 6 (continued). Statements by Sort Number

48	There is little government oversight of organization's programs.
49	Clients are satisfied with the cost of services.
50	Managers are available for guidance.
51	The organization has a long range plan.
52	Staff members have supplies they need to do the job.
53	The organization has up to date technology.
54	Organizational leaders are respected by community.
55	Staff members are resourceful.
56	Staff members receive regular feedback about their performance.
57	Organizational leaders are respected by employees.
58	Staff members can make decisions independently relative to their roles.
59	Clients are viewed as stakeholders.
60	Low staff turnover.
61	Eligibility criteria for clients are flexible.
62	Eligibility criteria for clients are clear.
63	The agency is efficient.
64	Staff members feel committed to the organization.
65	The organization has low staff turnover.
66	Case loads are reasonable.
67	There are individualized services within the organization.
68	Staff members have roles that are flexible.
69	The organization is responsive to the needs of clients.
70	The organization provides quality services.
71	The organization has the ability to compete with other agencies for resources.
72	Communication occurs from the bottom up within the organization.
73	Staff members feel their contributions are valued.
74	Employees understand how their departments fit into the overall budget.
75	There are opportunities for staff to be creative.
76	The organization achieves outcomes.
77	Efficiency is routinely encouraged within the organization.
78	Interests of stakeholders (clients and staff) are important.
79	Employees communicate well.
80	The organization has multiple funding sources.

the factors of nonprofit social welfare organizational effectiveness as identified by nonprofit organizational stakeholders? Consistent with concept mapping (Trochim, 2003), and the competing values approach (Quinn & Rohrbaugh, 1981), the 80 statements from the literature on organizational effectiveness were written on index cards and participants were asked to sort them into piles and name each pile. They were instructed to:

1. Group the statements for how similar in meaning they are to one another, not on how important they were, or how high a priority they might have,

2. Understand that there is no right or wrong way to group the statements.

3. Not be concerned about how many piles they have,

4. Place a statement alone as its own pile if they think it is unrelated to all the other statements or it stands alone as a unique idea,

5. Not have any piles of miscellaneous statements. And

6. Make sure that every statement is put somewhere.

The sort is taken and input is aggregated. This is the structure that represents the *sort* (numbers of statements and participants) in mathematical terms. The key is that participants are sorting the same number of statements.

Recording the sorting of statements. Participants were then asked to record the results of their groupings on a *Sort Recording Sheet* as follows:

1. Pick up any one of your piles of statements (it does not matter in what order the piles are recorded;

2. Quickly scan the statements in this pile, and write down a short phrase or title that describes the contents of the pile on the line provided after *Pile Title or Main Topic* in the first available box on the *Sort Recording Sheet;*

3. In the space provided under the pile name, write the statement identification (ID) number of each card in that pile (as in Table 3). Separate the numbers with commas. When you finish with the pile, put it aside so you don't mistakenly record it twice;

4   Move on to your next pile and repeat the first three steps, recording the

statement numbers in the next available box on the *Sort Recording Sheet.*

Continue in this way until all your piles have been named and recorded;

5   Your *Sort Recording Sheet* has room for you to record up to 20 piles or

groups of cards. As mentioned above, any number of piles is fine. If you

have more than 20 piles, continue recording your results on a blank sheet

of paper and be sure to attach this extra sheet to the ones provided.

Rating the statements. Participants were then instructed to complete a

Rating Recording Sheet (Appendix B). Each of the 80 statements was placed

beside a 5-point Likert scale using the anchors of 1 = *Relatively unimportant,* to 5

= *Extremely important.* This sheet fulfills two purposes: (a) to find out how

important the participant thinks the statement is to an effective organization, and

(b) to find out how realistic or feasible the statement is to incorporate into their

organizations given their current resources. Participants were asked to consider

the statements relative to one another and not to rate all statements as

important. It is much more meaningful if raters use the numeric range, taking the

opportunity to make thoughtful judgments among the ideas, to make distinctions

among them.

Concept Mapping Data Analysis Techniques

The Concept Mapping (Trochim, 2003) statistical program was used to

quantify qualitative data that were generated from sorting the statements.

Statement sorting information was entered into the program and developed into

conceptual maps using multidimensional scaling and agglomerative hierarchical cluster analysis.

Concept maps show conceptual territory of the issues at hand. The clusters of maps are groups of similar specific ideas that have some common theme. Agglomerative hierarchical cluster analysis was used to draw and redraw the merges of statements and make final decisions about the final number of clusters in the maps. Space has meaning on these maps and the closer together two ideas are on this plane, the more they have in common according to participants.

Maps were drawn based on similarity. The location of each point is relevant, in relation to each of the other points. The orientation is not relevant (whether a point is on the top, bottom, left, or right). The map, as a whole, can be flipped or rotated without changing its meaning, as long as the distances between items remain constant.

The remainder of Chapter III will highlight the products of the data analysis techniques which are fundamental in the Concept System Method.

Multidimensional Scaling Statistical Technique

Multidimensional scaling (also known as MDS, smallest space analysis, and principal components analysis by Guttmann and Bell Labs) is a multivariate application used in the basic analysis. A binary square similarity matrix represents sorts (data) of different sizes into the same structure in a two dimensional space. Trochim (personal communication, 2005) indicates that a two dimensional space is used because it captures mathematically the most of what

it can from the first two principal solutions, and that to involve more than two dimensions would make the analysis too complex. Additionally, Trochim states that MDS is a non-metric form of factor analysis able to generate robust statistics with a small sample (15 participants minimum) that will yield a scale that will fit with fewer dimensions unlike factor analysis which is obsessed with dimensionality. Multidimensional Scaling has one other property that is valuable in analyzing qualitative information according to Trochim—it takes nominal level data, such as naming the piles, and changes it into interval level data.

Data analysis is represented through graphic depictions in the form of *point maps* and *point rating maps*. Point maps are created using Ward's algorithm to measure *stress* between variable (statement) points instead of the percentage of variance for which the variable can account.

Agglomerative Hierarchical Cluster Analysis Statistical Technique

Agglomerative hierarchical cluster analysis is subservient to the multidimensional scaling application and is less solid than multidimensional scaling. This analysis relies on the initial results of the analysis of sort data and is used to partition multiple dimensions of information. The cluster map uses the point map as input .Trochim (personal communication, 2005) said that cluster analysis presents problems with congruent interpretation and gives only an approximation such as one would get dialing up or down while peering through a microscope. He asserts that the researcher should ask *why* they are doing the research to determine the number of clusters needed in the representation.

Bridging Analysis Statistical Technique

Bridging analysis utilizes multidimensional scaling and creates a bridging value (anchor value) used to interpret content associated with a specific area on the map. Every statement has a bridging (anchor) value as does every cluster. Ideas that are on the outside of a cluster are usually found to be connecting, or bridging, between the cluster they are in and the cluster they are reaching toward. This is valuable because it helps to see the map as a whole picture, rather than isolated ideas.

All indicators are between 0-1, everything else will be in between. Lower values are better indicators of similarity and higher values indicate that the statement is a bridge. Trochim (personal communication, 2005) identified the relationship of the input and output of multidimensional scaling as *stress* explaining that the lower the stress the better the fit and a correspondence of high values indicate worse fits. The average stress value is .28. The stress value is used to interpret goodness of fit rather than the percentage of variance accounted for and that more complex topics and sloppy statements can cause greater stress. With regard to goodness of fit, Trochim said that as you add more sorters, the stress level tapers off.

Anchoring ideas are those that are easy to identify as common or central to a cluster. Other ideas fall outside of that center for a variety or reasons, having to do with the way people interpreted the core meaning of the idea when they sorted. Because those who sorted provided the framework, it is important to look

beyond the obvious first glance relationship of ideas to other ideas in a cluster, and to think more conceptually about how their relationships came about.

Sort Pile Label Analysis Statistical Technique

Cluster labels are developed based on the names given to the sort piles by sorting participants. The sort pile label data analysis statistical program analyzes the most commonly held names that participants used in labeling their piles and recommends labels based on the most frequently used terms. Several labels are made available. The final decision was left to this writer and was based on the themes highlighted by the statements in the clusters.

Go Zone Analysis Statistical Technique

The Go-Zone is a simple bivariate plot generated by the input of data into the multidimensional scaling statistical program. The "go zone" is divided into four quadrants using the axes of the two scales for the project allowing a view of the ideas within the clusters that were considered both important and feasible to an effective organization by participants. Clusters are analyzed independently to produce a "go zone" result for each.

Products of Concept Mapping Data Analysis

Point Map

From the binary square similarity matrix utilized in multidimensional scaling and representing sorts (data) of different sizes into the same structure in a two dimensional space, a point map is developed which is calibrated based on how many people put statements together. It is concerned with distance and not

directionality and is based on inverse relationships (the more similar the statements are the closer they are represented on the map).

Point Rating Map

The point rating map has the same concept as the point map with the addition of icons located beside of the statement variables indicating the frequency of how many participants rated statements together. A point rating map is calibrated based on how many people put statements together. It is concerned with distance and not directionality and is based on inverse relationships (the more similar the statements are the closer they are represented on the map). Statements that were frequently grouped together by participants will have higher point ratings signified by the height of the icon located beside of the statement.

Point Bridging Map

The point bridging map is generated based on how many people sorted the same statements in the same way. Values are generated for each statement using the sort input from the multidimensional scaling statistical technique. The values represent an indication of how well the statement represents the location it is in on the plot (cluster). The statistical terminology for this process is known as *stress* and represents *goodness of fit* rather than percentage of variance for which it accounts. A legend accompanies this map and is located on the left hand side of the map. The legend highlights the correspondence between the layers of the icons located beside of the statements and their stress values. A lower stress value indicates a better fit of the statement to the cluster area or *anchor*. A higher

stress value indicates that the statement is a link or *bridge* to another conceptual

area on the map.

Cluster Map

Clusters are generated by the output data of the point maps which are

entered as input for agglomerative hierarchical cluster analysis. Clusters can be

grouped into larger units because the relationships between the clusters are very

similar to the relationships between the points. Clusters may be grouped into

regions much like points are grouped into clusters. Once the final cluster solution

is chosen, consideration is given to how the clusters interrelate to form a better

picture of the theme behind the map. The following factors are considered in the

analysis of clusters:

Number of clusters. Each person who completed a sorting activity

contributed to the final map results. The computer analysis provides a

mechanism to suggest which clusters that ideas can reasonably be gathered on.

The statistical foundation of the sorting routine is a unique combination of

multidimensional scaling and agglomerative hierarchical cluster analysis. The

cluster replay function of the program provides a systematic approach to

determining the numbers of clusters.

Cluster labels. Cluster labels are developed based on the names given to

the sort piles by participants using the sort pile label data analysis technique. The

statistical program analyzes the most commonly held names that participants

used in labeling their piles and recommends labels based on the most frequently

used terms. Several labels are made available. The final decision was left to this

writer and was based on the themes highlighted by the statements in the clusters.

Cluster placement. The placement on the map does not reflect any order, value, or priority among the statements. Placement reflects the conceptual relationship of the ideas to one another. Statements in the middle may contain ideas that are linked to multiple regions on the map. They may have multiple interpretations or contain ideas that act as conceptual bridges between large ideas. Some clusters that are very conceptually clear may appear at the boundaries of the map, because many sorters grouped statements together that define the cluster and did not put them with other statements on the map. This results in the cluster being pushed away from the rest of the clusters and toward the edges of the map.

Cluster size. The size of a cluster does not indicate importance. A large cluster often represents an idea that is quite broad or that bridges two other specific ideas on the map. If this occurs the larger cluster will sit between the clusters it bridges.

Cluster Rating Map

The height of the cluster is the only dimension that represents ratings and is visually depicted in the cluster rating map. Cluster layers are derived from the rating of statements and provide averages for all of the points included in the cluster which are structured as layers. More dimensions or layers on a cluster indicate that participants considered the themes highlighted in the cluster as being more significant. Ratings on the cluster layers range from 1 (least

important or feasible) to 5 (most important or feasible). Occasionally an important idea will be surrounded by less important ideas. The average value for the cluster may be relatively low, but a point-rating map may make the important point stand out.

Cluster Rating Statement Report

After clusters have been developed based on the data analysis techniques, reports denoting specific ratings are generated. These reports highlight the importance and feasibility ratings of participants and are presented in descending order with the highest ratings appearing at the top of the report. An analysis of each cluster rating is provided in conjunction with the map report.

Cluster Bridging Map

The *cluster bridging map* is a representation of groupings of variables (statements) into larger units. Statement numbers (variables) are located on the cluster bridging map in the same locations as the point map. This map includes icons beside of statement numbers (variables) indicating the stress values of each statement (variable). This map provides a visual representation of how statements correlate to the cluster themes by highlighting the stress value of a statement and viewing its location on the map. Lower stress values indicate that the statement is an anchor of the cluster. Higher stress values indicate that the statement is a link or *bridge* to the nearest cluster.

Point Cluster Bridging Map

The *point cluster bridging map* is a composite of the point rating and the cluster rating maps. This map is generated utilizing multidimensional scaling,

agglomerative hierarchical cluster analysis, and averaging the means of the statement ratings per cluster.

Bridging Statement Report

After the point bridging, cluster bridging and point-cluster bridging maps are developed, a report is generated highlighting the statements and their numbers in their entirety along with their individual bridging values. After concept maps are computed based on bridging analysis, a report is generated denoting the stress values or goodness of fit for each statement. As discussed above, lower stress values signify that the statement is congruent with the cluster label or theme. Higher stress values signify that the statement is a bridge or link to an adjacent cluster. An analysis of the bridging values for each cluster is provided in conjunction with the map report.

Map interpretation begins with the original dilemma and point question or focus prompt. In this study the original research questions focused on the factors of an effective nonprofit social welfare organization. From the maps, similarities of ideas and importance of ideas were gleaned. The maps were drawn from the input of all of the people who provided sort data.

Pattern Matches

Multidimensional scaling and the cluster rating scale (Trochim, 1989) are used to process the data which will signify correlations of variables (statements) or *pattern matches*. Pattern matches are developed from all of the information that participants provided via sorting, which provides the cluster contents that are labeled, and the ratings, which provide information about the relative importance

of the ideas in the clusters. A pattern match identifies the amount of agreement of disagreement there is between two scales such as importance and feasibility.

The connecting rung of the ladder shown on the pattern match notes the comparison between the two ratings. If a line that represents cluster A is high on the left axis and quite low on the right axis, the subgroup represented by data on the left placed more value on the items in cluster A than the participants by the right axis data.

Labels and cluster lines on the pattern match are color coded for identification. The labels are evenly spaced for ease of reading. The lines cross the axis at the relative point between the maximum and the minimum values as calculated.

Ranges are smaller when rating maps and pattern matches are computed because ratings often start with a narrow scale, such as a 1 to 5 importance rating. The point rating map shows the average of each statement across all of the raters selected. The cluster rating map indicates the average of those points. With each average, the range is narrowed drawing the mean toward the center leading to a very narrow range of means across the cluster rating map. Although the range is small, the relationship between factors that are rated high and those rated low on average remains the same; the items that a majority of participants rated highly are reflected as such in the highly rated clusters, and those ideas which received comparatively lower ratings by the participants are reflected in clusters that indicate a lower overall value.

An ideal pattern match would portray complete agreement between the left side opinions and those on the right side using perfectly horizontal lines from left to right indicating agreement between the two ratings with an r value of +1.0. The less the graph resembles a ladder, the less agreement exists between the measures.

There are two types of pattern matches, relative and absolute. A relative pattern match shows the actual maximum and minimum cluster ratings for each scale such as importance and feasibility, enabling the reader to see the difference in how the ratings for each cluster compare to each other. An absolute pattern match shows both scales with a set maximum (5) and minimum (1) enabling a comparison of the two scales. For example, an absolute pattern match may show that, on the whole, participants gave higher importance ratings than feasibility ratings. Using bi-variate analysis the r value or correlation coefficient indicates the degree of agreement between the two ratings.

Go Zone

The *Go-Zone* is a simple bivariate plot generated by the input of data into the multidimensional scaling statistical program. The *Go Zone* is divided into four quadrants using the axes of the two scales for the project allowing a view of the ideas within the clusters that were considered both important and feasible by participants. Clusters are analyzed independently to produce a *Go Zone* result for each. Each statement indicative of nonprofit social welfare organizational effectiveness was gathered into a specific cluster with other similar ideas. These descend into one of the quadrants: high importance/high feasibility, high

importance/low feasibility, low importance/high feasibility and low importance/low feasibility. Those in the high/high area are identified as the *Go Zone* and warrant concentrated attention. The statements that fall into the high importance/low feasibility and low importance/high feasibility are know as *Gap Zones* and provide strategic potential to address gaps at the organizational level of analysis.

Development of Grant Application Guidelines and Evaluation Tool

Results of the Concept Mapping analysis were used to develop a framework for organizational effectiveness, and to develop guidelines for a grant application and evaluation tool for the Kentucky Social Welfare Foundation. This framework and tool are in the following sections.

Framework for Organizational Effectiveness

Quinn and Rohrbaugh's (1980) competing values approach (CVA) is a mezzo level technique developed to analyze individual organizations. They used a system of statement development from stakeholders which led to descriptions, definitions, and finally, perspectives from which individual organizations operate.

The Kentucky Social Welfare project was focused on defining nonprofit social welfare organizational effectiveness, and developing a grant application and evaluation tool. It was framed on a macro level (state) position with statements originating from theoretical perspectives. By sorting the statements, stakeholders (participants) would develop descriptors of organizational effectiveness based on clusters (maps) and sort pile labels (map labels). These elements were garnered from participant data and the data analysis techniques described earlier in Chapter III. A rating component (not used in Quinn &

Rohrbaugh's [1980] work) allowed stakeholders (participants) to vote on how important and feasible the statements were to their organizations with regard to providing a description of effectiveness.

Grant Application and Evaluation Tool

The stakeholders (participants) represented various organizational sizes, types, and regional locations. Their responses were eventually aggregated to provide a macro (state) representation of effectiveness descriptors as well as importance and feasibility ratings of effectiveness criteria. These descriptors and criteria were used to generate a grant application for the Kentucky Social Welfare Foundation which funds nonprofit social welfare organizations exclusively from Kentucky.

Foundation members requested that an evaluative tool be created to use in conjunction with the grant application. This evaluative tool would be used by Foundation members to score the grant applications. The tool would contain point values for each criterion identified in the grant application in an abbreviated form.

Process of Grant Application and Evaluation Tool Development

Throughout the research process, numerous meetings, email communications and telephone calls were held with the Kentucky Social Welfare Foundation Board Members to discuss the progress of the study. When the original grant application and evaluation tool were completed using the information gained from the concept mapping process, Foundation Board Members discussed the findings and offered feedback. They additionally gave

direction regarding their ideas of importance and feasibility of organizational effectiveness criteria. The grant application was adjusted to meet the Foundation's needs, although all of the original criteria as selected by stakeholders (participants) remained in the document. Foundation Board Members decided on point values for each section (derived from the cluster or map labels in the concept mapping process) of the grant application.

Assurance of Face Validity of the Grant Application and Evaluation Tool

During the numerous meetings, email communications, and telephone calls to and from Foundation Board Members, face validity of the grant application and evaluation tool was constantly being assessed. Singleton and Straits (1993) maintained that face validity is a subjective assessment to determine whether operational definitions actually measure what they are intended to measure. They contend that this is determined by personal judgment. To that end, Foundation Board Members and focus group participants were all considered stakeholders and informed face validity of the grant application and evaluation tool. In several instances, Foundation Board Members who were administrators of nonprofit organizations attended the focus group meetings and engaged in the concept mapping process. By providing forums for stakeholders to cognitively evaluate the concepts through concept mapping and constant discussion, face validity of the evaluative concepts was strengthened.

Conclusion

The Concept System appears to be an appropriate method to organize the rudiments found in the theoretical perspectives and to measure them for

observation of expectations and results. Concept mapping is an excellent method to identify group shared vision and map results pictorially. Its qualitative component helps to encourage teamwork, facilitate group decision making, and assure face validity of concepts; while the method's quantitative component turns knowledge into data, and data into meaning. Concept mapping informed the development of a framework and definition for nonprofit organizational effectiveness by providing a research method and data analysis techniques that unified theoretical perspectives, organizational processes and community ideas.

By providing a roadmap to link research (theoretical perspectives), practice (service delivery systems), and ideologies (societal ideas of what organizations do and how they behave), the Concept System's research methodology offers a means to inform a framework and definition for nonprofit social welfare organizational effectiveness which alternatively influenced the development of a grant application and evaluation tool for the Kentucky Social Welfare Foundation.

CHAPTER IV

RESULTS

The results of the concept mapping analysis are presented here and used

to answer the following research questions:

3.   How do the different stakeholders (administrators, practitioners, and

clients) rate the different statements derived from the literature on

organizational effectiveness?

4.   How do the different stakeholders (administrators, practitioners, and

clients) rate the different statements derived from the literature on

organizational effectiveness?

5.   How can the literature and stakeholder ratings be used to inform the

Kentucky Social Welfare Foundation on how a grant application should be

written and evaluated to assure that effective organizations receive money

from them?

Description of Sample

Participants were invited to attend focus groups held in the respective

Area Health Education Centers (AHEC) locations and consisted of

administrators, practitioners, and consumers of agencies defined in the sampling

frame. After the invitation to participate in the focus groups was sent to

organizations selected in the sample, approximately 75 organizations showed

interest in the project by sending e-mails and or calling to accept the invitations. After numerous telephone calls and e-mails reminding participants of the date, time, and location of the focus groups, many representatives from organizations selected in the sampling frame indicated that they were interested in participating, but were very short on staff and found that it would be difficult to allow time out of a work day for staff to participate in a four hour focus group. Agency representatives also conveyed that it would be difficult to find clients who would be able to travel to the focus group locations.

Prior to the first focus groups, 50 organizations firmly agreed to send an administrator, practitioner, and client representative to participate. The anticipated *n* at this point was 150. As time progressed, organizations indicated (many at the last minute) that a crisis had occurred and that the staff that were slated to participate were needed for other responsibilities within the organization. The concluding sample size was relatively small consisting of a total of 25 participants. The total breakdown of participants by role and gender represented 10 administrators, 6 practitioners, and 2 clients, 5 supervisors, and 2 who did not respond to that question. A total of 21 females and 4 males participated (Table 7).

Participants were asked to fill out a demographic questionnaire (Appendix A) describing their organization's characteristics: (a) the participant's role in the agency, (b) number of employees in the agency, (c) primary funding of the organization, (d) whether the organization is accredited or licensed by a regulatory agency, and (e) the types of services their organization provides.

Table 7

Breakdown of Participants by Role and Gender

Region	Type of Stakeholder			Gender of participants	
	Administrators	Clients	Practitioners/ Supervisors	Male	Female
Purchase AHEC Paducah	3	0	0	0	3
West AHEC, Madisonville	1	0	1	0	2
South Central AHEC Bowling Green	2	1	4	3	6
North West AHEC Park Duvall	1	0	1	1	1
North Central AHEC Lexington	1	1	0	0	2
Northeast AHEC Morehead	1	0	3	0	4
Southeast AHEC Hazard	1	0	2	0	3

Seven organizations represented by participants are accredited by some type of governing or accreditation body, and 13 representatives indicated that the organizations that they were representing were not accredited. Four participants chose not to respond to that question. Participants represented 6 crisis oriented organizations, 6 health oriented organizations, 3 prevention oriented organizations, 6 other, and 4 did not respond.

Sizes of organizations tended to be relatively small with the majority (14) participants representing organizations with 1-10 employees. Two participants represented organizations consisting of 101-250 employees, three participants' organizations had 11-50 employees, 2 represented organizations consisting of

250+ employees, and 2 did not respond to that question. Three organizations

relied solely on donations, 4 received federal funds, 12 receive grants, 2 received

local community funds, and 4 did not respond. Table 8 summarizes the answers

to the respondent questionnaire.

Table 8

Demographic Summary

AGENCY ROLE	f
Did Not Respond	2
I (or my family) receive(s) services from this agency.	2
I work at this agency in a direct service position.	6
I work at this agency in a supervisory position.	5
I work at this agency in an administrative position.	10
TOTAL	**25**
NUMBER OF EMPLOYEES	**f**
1 - 10	14
11 - 50	3
51 - 100	0
101 - 250	2
250 & over	2
Did Not Respond	4
TOTAL	**25**
FUNDING	**f**
Did Not Respond	4
Donations only	3
Federal Funds	4
Grants	12
Local community funds	2
TOTAL	**25**
ACCREDITATION/LICENSING	**f**
Did Not Respond	5
No	13
Yes	7
TOTAL	**25**
SERVICES	**f**
Crisis	6
Did Not Respond	4
Health	6
Other	6
Prevention	3
TOTAL	**25**

Questions Asked During Focus Groups

Consistent with the Concept Mapping approach (Trochim, 2003), 80 statements (independent variables) (Table 2 in Chapter 3) were extrapolated from the literature review. The following questions were asked of participants regarding the 80 statements identified in the literature as constituting organizational effectiveness:

1.   How would you group these statements?

2.   What labels would you give to your statement groups?

3.   How important are those statements in your organization?

4.   How realistic are those statements with regard to your organization?

The answers to these questions ultimately supplied the material used in the development of an evaluative mechanism to be used by the Kentucky Social Welfare Foundation for the purpose of making funding decisions.

Results of Data Analyses

Multidimensional Scaling, Agglomerative Cluster Analysis, Bridging Analysis, Sort Pile Label Analysis and Go Zone Analysis Statistical Techniques

Statement sorting information provided by the input of all participants was entered into the program and developed into point maps using multidimensional scaling. The agglomerative hierarchical cluster analysis statistical technique was used to develop cluster maps based on the input from point maps that were generated from the multidimensional scaling statistical technique. The bridging analysis statistical technique produced data output used to generate point

bridging and cluster bridging maps. The sort pile label analysis statistical technique produced data output which was used to generate labels representing themes of the clusters.

The multidimensional scaling and agglomerative hierarchical cluster analysis statistical techniques were used in tandem to generate a correlation of variables (statements) represented on a graph as a pattern match. The *Go Zone* analysis statistical technique analyzed clusters independently. The output of this analysis was a bivariate plot which allows a view of the variables (statements) within the clusters that were considered both important and feasible to an effective nonprofit social welfare organization.

One set of maps depicts the raters' perceptions of the importance of the variables (statements) to the overall effectiveness of the organizations that they were representing, and the other depicts the raters' perception of feasibility of the variables (statements) to their organizations. Both importance and feasibility of the statements are represented by these maps. The different results of the analyses are now shown and discussed.

Point Maps

The concept mapping process initially requires participants to sort statements in a way that makes sense to them. These data are entered into the multidimensional scaling statistical program as input which calibrates how much agreement or disagreement participants had about their impressions of how the statements should be grouped together (sorted). The representation of their agreement or disagreement generated from multidimensional scaling is

presented by points on a plot or *point map* (Figure 4). The points on this map represent an aggregate of all participant sorts. The space between the points provides a picture of the degree of agreement or disagreement participants had about how the statements should be sorted together.
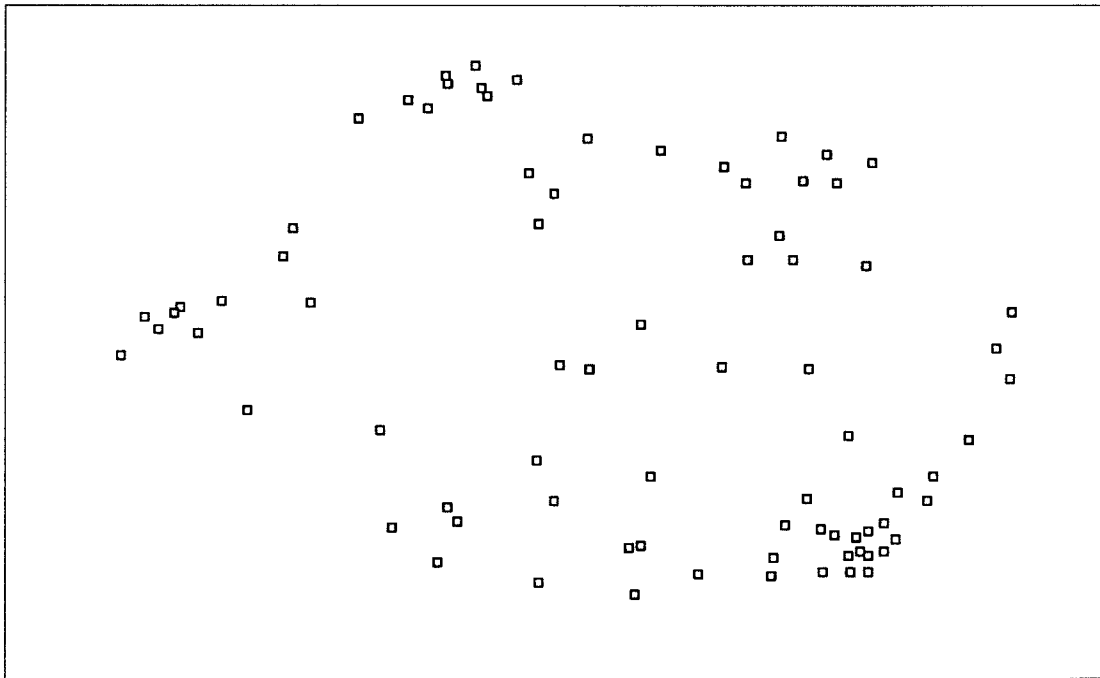

Figure 4. **Point Map representing how many people grouped statements together**

Notice how some points cluster together at different points on the map and others are located in smaller groups or alone. The distance and groupings signify that some participants had very different ideas of how the statements should be sorted.

Although two point maps were generated based on importance and feasibility of the ideas to an effective organization, they were essentially mirror

images of one another signifying that participants as an aggregate felt that their statement groupings were both important and feasible to effective organizations.

Point Rating Map

Participants were asked to rate the statements on 1 - 5 Likert scales on the premises of how important the statements were to an effective organization and how feasible they were to their organizations. Their ratings were calibrated by a combination of multidimensional scaling and averaging the rating means. Their statement ratings are depicted in the *point rating map* (Figure 5). The map legend seen in the upper left hand corner explains the icons located next to the statement numbers. As the legend demonstrates, an icon with five layers indicates that the statement is very important and feasible to an effective organization. Fewer layers of an icon located by a statement number are indicative of a perception that the statement was not as important. For instance, statements 72, 41, 79, 33, 47, 64, 50, and 8 were frequently grouped together by participants. As a result, these statements have high point values.

Two individual point rating maps were generated based on data input. However, these maps were identical to each other indicating that participants gave the same overall rating to the importance and feasibility of the statements to effective organizations.

Point Bridging Map

The *point bridging map* shows how many people sorted the same statements in the same way using the multidimensional scaling statistical technique (Figure 6). This is the same process as with the development of the

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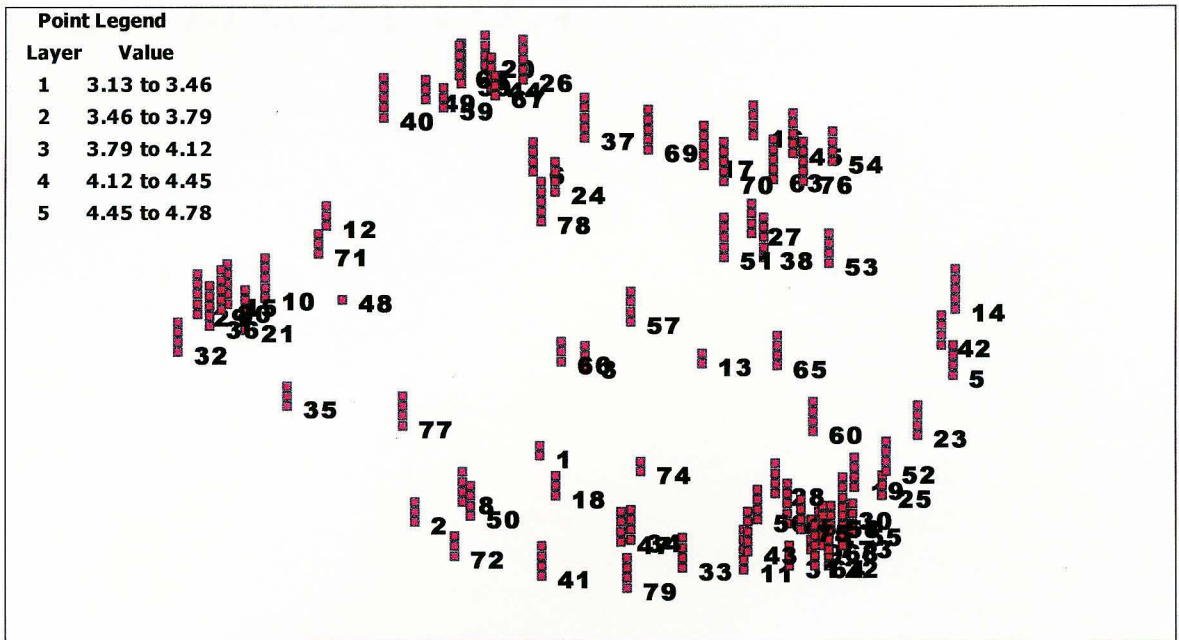
Figure 5. Point rating map representing participants' perceptions of how important and feasible the statements are to an effective organization.

Point map; however, the point rating map depicts a correlation of the statements to their cluster area. This is calibrated on the basis of how close in distance the statements are on the map based on participant sorting patterns. The statistical terminology for this process is known as *stress* and represents the *goodness of fit* of a statement to it's location on the map. The stress value is used in this calculation as opposed to the percentage of variance it explains.

A lower stress value indicates a better fit of the statement to its location. A higher stress value indicates that the statement is a link or *bridge* to another conceptual area on the map. The legend located on the left side of the map highlights the correspondence between the layers of the icons located by the statement numbers and their corresponding stress values. In this way statements
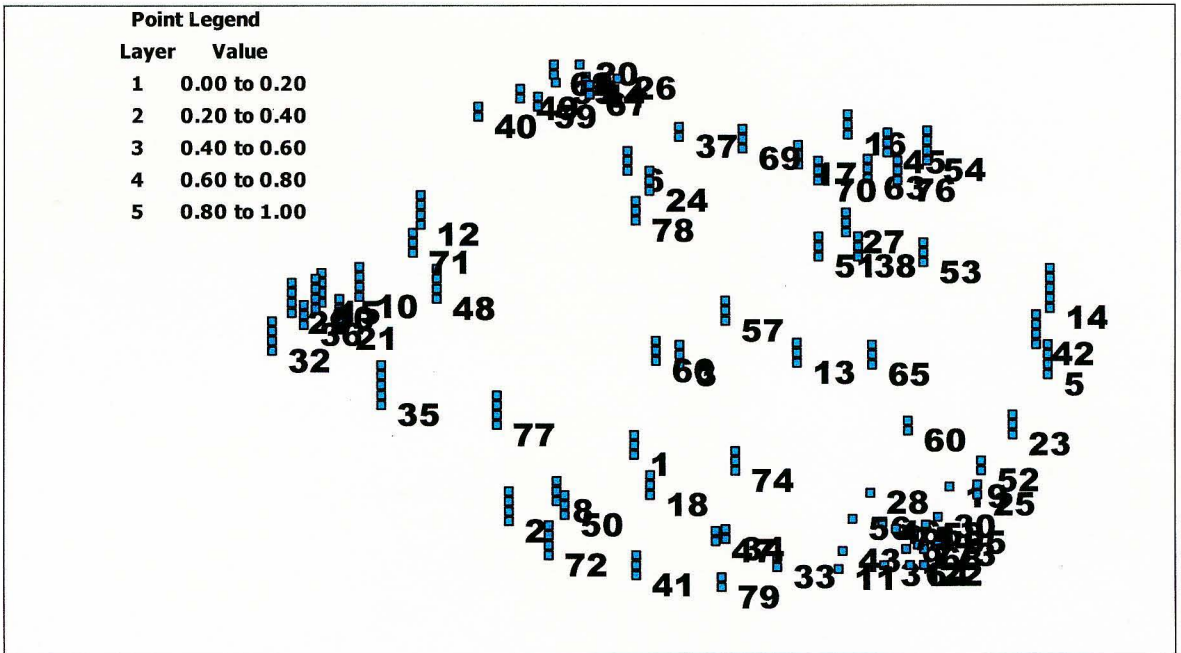
Figure 6. Point Bridging Map representing the goodness of fit of the statements to their location on the map via *stress* values.

can be identified as *anchors* or representations of their areas, or *bridges* to other areas.

As indicated on the map legend, statement numbers with five layer icons next to them have higher stress values and are considered to be bridges or links to other areas on the map. Statements with one layer icons are seen to have lower stress values and, therefore, considered to be anchor statements to the area in which they are located. All stress values are between 0 (low) and 5 (high). Everything else falls between these numbers. Notice that many statements found on the edge of the plot have four to five layer icons next to them, while statements located nearer the centers of the plots have icons with fewer layers.

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Cluster Map

The *cluster map* is generated by the input of the point map (the similarity of participant statement sorts, Figure 7). This input is calibrated using agglomerative hierarchical cluster analysis and is represented in the form of clusters. The visual representation provides a broader conceptualization of the location of statement sorts (notice how the statements on the point maps coincide with the clusters). The size of the clusters shows how broad or refined are the ideas. The placement of a cluster provides a visual understanding of how one idea relates to another. The labels of the clusters were generated using the sort pile analysis statistical technique and participant's sort pile labels as input for the analysis. The labels signify themes of the clusters as identified by participants. The themes represent how participants sorted their statements into piles and how they conceptualized their piles. An aggregate of participant statement sort piles reveals that participants perceived the statements as representing (a) workplace environment, (b) funding, (c) organizational structure, (d) staff efficiency, and (e) client services.

The size of the *workplace environment* cluster is the largest cluster signifying that this is a very broad concept or idea to the participants. The other four clusters are more compact giving an indication that the concepts are more explicit. The placement of the *workplace environment* cluster is in the middle of the other four clusters expressing a sense that although the concept of *workplace environment* is broad, it is the foundation from which the other four components of an organization operate.

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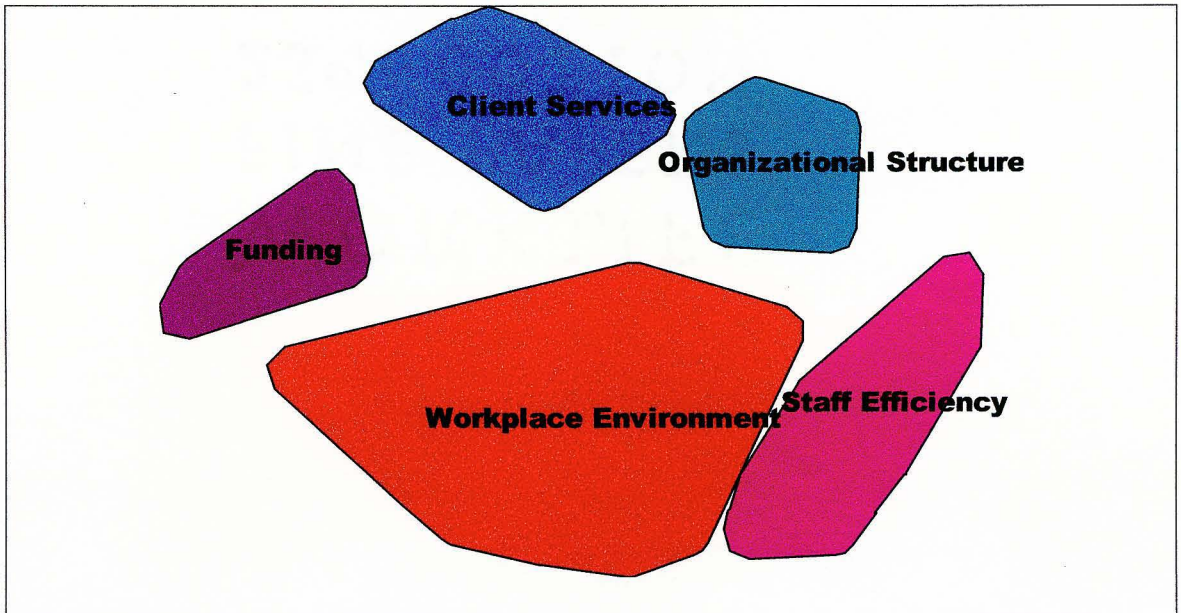
Figure 7. Cluster Map representing an aggregate of participant statement sorts and labels of sorts.

Cluster Rating Map

The *cluster rating map* is developed from the cluster map which provides a broader visualization of how participants conceptualized the ideas of organizational effectiveness represented by statements and statement sort piles. The *cluster rating map* adds the dimension of how important and feasible participants felt the themes (clusters) were to an effective organization. The cluster rating map represents an average of the means of statement ratings obtained from the 1 - 5 Likert scales in each cluster. The averages for all of the points (statements) are calibrated in conjunction with the point values of each statement to obtain the rating scale.

A legend is located on the left side of the map suggesting that clusters with five layer icons were considered to be the most important or feasible to the concept of organizational effectiveness, while clusters with one layer were considered to be the least important or feasible to the concept of organizational effectiveness.

Two maps were generated from this statistical technique. They are different and represent participants' ideas of *how important* (Figure 8) the statements are to the concept of organizational effectiveness and how *feasible* (Figure 9) the statements are to the concept of organizational effectiveness. Although the point maps were identical with regard to importance and feasibility, the cluster rating map looks not only at how statements were sorted, but at the aggregated mean of the statement ratings within each cluster.

Cluster Rating Statement Report

Workplace environment importance. In the Workplace Environment cluster, an overall importance rating of 4.06 indicates that the concept was very important as opposed to extremely important (5.00, Table 9). Within that cluster, participants found that the three statements rated most important to an effective organization pertained to employees communicating well, organizational leaders being respected by employees, and managers being available for support. The three *least* important statements were that case loads were reasonable, the work environment felt organized, and the organization paid competitive wages.

Workplace environment feasibility. The feasibility (Table 10) or realistic rating for this cluster was 3.73. Participants considered communication occurring

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Cluster Legend

Layer	Value
1	4.06 to 4.16
2	4.16 to 4.26
3	4.26 to 4.36
4	4.36 to 4.45
5	4.45 to 4.55

Figure 8. Cluster Rating Map representing an average of the means of participant statement ratings in each cluster by importance.

Cluster Legend

Layer	Value
1	3.73 to 3.81
2	3.81 to 3.90
3	3.90 to 3.98
4	3.98 to 4.06
5	4.06 to 4.15
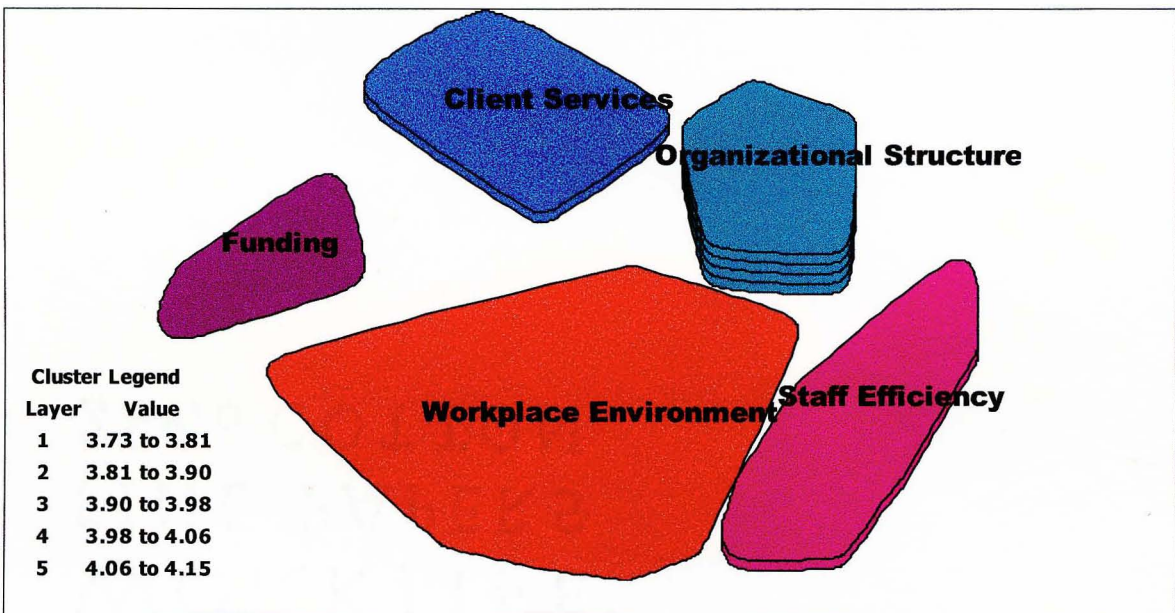
*Figure 9.* Cluster Rating Map representing an average of the means of participant statement ratings in each cluster by feasibility.

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Table 9

Workplace Environment Importance

	Workplace Environment	4.06
79	Employees communicate well.	4.43
57	Organizational leaders are respected by employees.	4.39
8	Managers are available for support.	4.39
77	Efficiency is routinely encouraged within the organization.	4.30
65	The organization has low staff turnover.	4.22
47	There are low rates of injury at the organization.	4.22
34	The workplace is pleasant.	4.17
41	Conflict is handled openly.	4.17
33	The organization has a low rate of absenteeism.	4.13
50	Managers are available for guidance.	4.13
66	Case loads are reasonable.	4.09
18	The work environment feels organized.	3.96
3	The organization pays competitive wages and salaries.	3.96

Table 10

Workplace Environment Feasibility

	Workplace Environment	3.79
2	Communication occurs from the top down.	4.17
8	Managers are available for support.	4.17
77	Efficiency is routinely encouraged within the organization.	4.09
34	The work place is pleasant.	4.09
47	There are low rates of injury at the organization.	4.04
79	Employees communicate well.	4.00
50	Managers are available for guidance.	3.96
35	There is a high level of interagency communication in the organization.	3.95
33	The organization has a low rate of absenteeism.	3.91
65	The organization has low staff turnover.	3.83
57	Organizational leaders are respected by employees.	3.83
18	The work environment feels organized.	3.70
66	Case loads are reasonable.	3.57
1	The organization uses outside trainings to stay abreast of current practices.	3.55
72	Communication occurs from the bottom up within the organization.	3.39
41	Conflict is handled openly.	3.35
74	Employees understand how their departments fit into the overall budget.	3.35
3	The organization pays competitive wages and salaries.	3.09
13	The organization offers opportunities for staff to be promoted.	2.87

from the top down, managers being available for support; and efficiency being routinely encouraged as the top three statements that were feasible or realistic for effective organizations. Participants did not consider employees understanding how their departments fit into the overall budget, the organization paying competitive wages and salaries, and the organization offering opportunities for staff to be promoted as being feasible for their organizations.

Funding importance. *Participants found this cluster to be very important as evidenced by an overall rating of 4.31 (Table 11). Within this cluster participants found that having adequate funding, the organization spending money responsibly, and having the resources it needs to adequately provide services as being the top three statements of importance to an effective organization. Participants felt that the organization having the ability* to compete

Table 11

Funding Importance

	Funding	4.31
29	The organization has adequate funding.	4.78
21	The organization spends money responsibly.	4.65
10	The organization has the resources it needs to adequately provide services.	4.65
15	The organization is always looking for new funding sources.	4.59
36	Spending is controlled.	4.55
80	The organization has multiple funding sources.	4.48
32	The organization constantly develops multiple funding sources.	4.43
71	The organization has the ability to compete with other agencies for resources.	4.04
12	Communicates with the community through advertisement of services.	3.83
48	There is little government oversight of organization's programs.	3.13

with other agencies for resources, communicating with the community through advertising resources, and having little government oversight of the

organization's resources as being the three *least* important statements to an effective organization.

  Funding feasibility. With regard to funding being feasible to an effective organization, participants felt overall factors of funding were not as feasible as they were important as evidenced by a mean score for this cluster of 3.79 (Table 12). Participants indicated that the organization spending money responsibly, controlling spending, and looking for new funding sources as being highly feasible for effective organizations. The three statements *least* indicative of being feasible to an effective organization as judged by participants were the organization having adequate funding, and the resources it needs to adequately provide services, and that there is little government oversight of the organization's programs.

Table 12

Funding Feasibility

		Funding	**3.79**
21	The organization spends money responsibly.		4.39
36	Spending is controlled.		4.30
15	The organization is always looking for new funding sources.		4.26
32	The organization constantly develops multiple funding sources.		4.13
80	The organization has multiple funding sources.		4.00
71	The organization has the ability to compete with other agencies for resources.		3.61
12	Communicates with the community through advertisement of services.		3.61
29	The organization has adequate funding.		3.26
10	The organization has the resources it needs to adequately provide services.		3.26
48	There is little government oversight of organization's programs.		3.04

  Client services importance. Participants rated this cluster very high on importance with an overall mean score of 4.30 (Table 13). After reviewing the data it became apparent that participants felt that client's feeling respected, the

Table 13

Client Services Important

Client Services	4.30
39	Clients feel respected.	4.70
78	Interests of stakeholders (clients and staff) are important.	4.65
69	The organization is responsive to the needs of clients.	4.65
40	Services are affordable to clients.	4.65
26	Hours of operation match the needs of clients.	4.52
37	Services are changed to adapt to changes in the community.	4.52
62	Eligibility criteria for clients are clear.	4.30
20	Clients reach their goals.	4.26
6	The organization uses evidence-based practices to serve clients.	4.18
24	Interests of stakeholders are important.	4.17
44	Clients are satisfied with the convenience of services.	4.17
59	Clients are viewed as stakeholders.	4.09
49	Clients are satisfied with the cost of services.	4.04
67	There are individualized services within the organization.	3.96
61	Eligibility criteria for clients are flexible.	3.57

organization considering the interests of stakeholders (clients and staff) to be important, and being responsive to the needs of clients, were the three most important statements indicative of an effective organization with regard to client services. Conversely, participants viewed clients being satisfied with the cost of services, having individualized services, and the organization having clear eligibility criteria as being the three statements which were least important to client services in effective organizations.

Client services feasibility. The feasibility mean score of factors associated with client services was 3.88 (Table 14). After reviewing the data it became apparent that participants felt that clients' feeling respected, the organization considering the interests of stakeholders (clients and staff), and the organization being responsive to the needs of clients, as being the three most

Table 14

Client Services Feasibility

Client Services	3.88
39 Clients feel respected.	4.17
78 Interests of stakeholders (clients and staff) are important.	4.17
69 The organization is responsive to the needs of clients.	4.17
40 Services are affordable to clients.	4.13
26 Hours of operation match the needs of clients.	4.04
49 Clients are satisfied with the cost of services.	4.00
37 Services are changed to adapt to changes in the community.	3.96
62 Eligibility criteria for clients are clear.	3.91
6 The organization uses evidence-based practices to serve clients.	3.83
24 Interests of stakeholders are important.	3.74
59 Clients are viewed as stakeholders.	3.74
44 Clients are satisfied with the convenience of services.	3.73
61 Eligibility criteria for clients are flexible.	3.61
20 Clients reach their goals.	3.52
67 There are individualized services within the organization.	3.45

feasible statements indicative of an effective organization. The three least

feasible statements regarding client services were that eligibility criteria for clients

be flexible, clients reach their goals, and that clients receive individualized

services.

    Organizational structure importance. Participants gave this cluster the

highest importance rating with a mean value of 4.55 (Table 15). Participants felt

that the organization providing services that are actually needed, having a clear

mission, and filling an important role in the community as being the three most

important statements indicative of organizational structure in an effective

organization. Within this cluster, participants felt that everyone knowing the

organization's mission, the organization working cooperatively with other

community agencies, and having up to date technology as being the three

statements which were *least* important to an effective organization.

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Table 15

Organizational Structure Importance

Organizational Structure	4.55
17 The organization provides services that are actually needed.	4.74
38 The organizational mission is clear.	4.70
45 The organization fills an important role in the community.	4.70
51 Organization has a long range plan.	4.70
76 The organization achieves outcomes.	4.70
70 The organization provides quality services.	4.57
63 The agency is efficient.	4.48
54 Organizational leaders are respected by community.	4.43
27 Everyone knows the organization's mission.	4.43
16 The organization works cooperatively with other community agencies.	4.39
53 The organization has up to date technology.	4.22

Organizational structure feasibility. Participants considered the

elements of this cluster to be most feasible to their organizations as evidenced by

a mean score of 4.15 (Table 16). Participants indicated that the organizational

mission being clear, providing quality services, and filling an important role in the

community as being the three most feasible statements related to effective

organizations. Organizational leaders being respected by the community, being

efficient, and having up to date technology were considered *not* to be as feasible

in effective organizations.

Staff efficiency importance. This cluster also received a high value with

regard to importance with a mean score of 4.27 (Table 17). The three most

important statements related to staff efficiency indicative of an effective

organization were that staff feel committed to the organization, be well trained,

satisfied with their jobs. The three *lowest* rated statements in this cluster were

that staff has the freedom to make decisions, has flexible roles, and try new ways

of doing things.

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Table 16

Organizational Structure Feasibility

	Organizational Structure	4.15
38	The organizational mission is clear.	4.39
70	The organization provides quality services.	4.35
45	The organization fills an important role in the community.	4.30
16	The organization works cooperatively with other community agencies.	4.23
27	Everyone knows the organization's mission.	4.22
17	The organization provides services that are actually needed.	4.22
76	The organization achieves outcomes.	4.22
51	The organization has a long range plan.	4.09
54	Organizational leaders are respected by community.	4.04
63	The agency is efficient.	3.91
53	The organization has up to date technology.	3.65

Table 17

Staff Efficiency Importance

	Staff Efficiency	4.27
64	Staff members feel committed to the organization.	4.59
46	Staff members are well trained.	4.57
7	Staff members are satisfied with their jobs.	4.52
14	Staff members listen to the concerns of clients.	4.52
11	Staff members feel committed to the organization's mission.	4.48
30	Staff members feel that they are treated fairly.	4.48
43	Staff morale is generally good.	4.48
23	Staff members keep thorough records.	4.43
42	Staff members return phone calls promptly to clients.	4.39
52	Staff members have supplies they need to do the job.	4.35
73	Staff members feel their contributions are valued.	4.35
9	Staff members feel like they are part of a team.	4.30
60	There is low staff turnover within the organization.	4.30
56	Staff members receive regular feedback about their performance.	4.27
55	Staff members are resourceful.	4.26
19	Staff members are qualified.	4.26
5	Staff members return phone calls promptly to staff at other agencies.	4.26
75	There are opportunities for staff to be creative.	4.13
28	Staff members get along with each other.	4.13
58	Staff members can make decisions independently relative to their roles.	4.09
22	Staff members participate in the change process.	4.09
25	Employees contribute to the decisions that are made.	3.96
4	Staff members have freedom to make decisions.	3.96
68	Staff members have roles that are flexible.	3.87
31	Staff members try new ways of doing things.	3.83

Staff efficiency feasibility. The feasibility of this cluster to an effective

organization received a mean score of 3.85 (Table 18). The three highest

feasibility statements in this cluster are that staff members listen to the concerns

of clients, return phone calls promptly to staff at other agencies, that they feel like

they are part of a team. The three statements which are *least* feasible within this

cluster are that employees contribute to the decisions that are made, are

satisfied with their jobs, and try new ways of doing things.

Table 18

Staff Efficiency Feasibility

	Staff Efficiency	**3.85**
14	Staff members listen to the concerns of clients.	4.41
5	Staff members return phone calls promptly to staff at other agencies.	4.23
9	Staff members feel like they are part of a team.	4.09
23	Staff members keep thorough records.	4.09
75	There are opportunities for staff to be creative.	4.04
55	Staff members are resourceful.	4.04
42	Staff members return phone calls promptly to clients.	4.00
52	Staff members have supplies they need to do the job.	4.00
46	Staff members are well trained.	3.91
11	Staff members feel committed to the organization's mission.	3.91
64	Staff members feel committed to the organization.	3.91
19	Staff members are qualified.	3.91
43	Staff morale is generally good.	3.87
56	Staff members receive regular feedback about their performance.	3.86
28	Staff members get along with each other.	3.78
30	Staff members feel that they are treated fairly.	3.78
60	There is low staff turnover within the organization.	3.70
4	Staff members have freedom to make decisions.	3.70
58	Staff members can make decisions independently relative to their roles.	3.70
68	Staff members have roles that are flexible.	3.65
73	Staff members feel their contributions are valued.	3.65
22	Staff members participate in the change process.	3.61
25	Employees contribute to the decisions that are made.	3.57
7	Staff members are satisfied with their jobs.	3.52
31	Staff members try new ways of doing things.	3.39

Cluster Bridging Map

Ideas that are on the outside of a cluster are usually found to be connecting, or bridging, between the cluster they are in and the closest adjacent cluster (Figure 10). This is valuable because it helps to see the map as a whole picture, rather than isolated ideas. Bridging analysis creates a bridging value (anchor value) used to interpret content associated with a specific area on the cluster map. Every statement has a bridging (anchor) value as does every cluster. All indicators are between 0 and 1. Lower values are better indicators of similarity and higher values indicate that the statement(s) or cluster is a bridge.

Cluster Legend

Layer	Value
1	0.19 to 0.28
2	0.28 to 0.37
3	0.37 to 0.46
4	0.46 to 0.54
5	0.54 to 0.63

Figure 10. Cluster Bridging Map representing how themes impact one another.

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Anchoring ideas are those that are easy to identify as common or central to a cluster. Other ideas fall outside of that center for a variety or reasons having to do with the way people interpreted the core meaning of the idea when they sorted. Because those who sorted provided the framework, it is important to look beyond the obvious first glance relationship of ideas to other ideas in a cluster and to think more conceptually about how their relationships came about.

The cluster legend in Figure 10 shows that *Staff Efficiency* has one layer and a stress value of 0.00 to 0.20 which indicates that the statements in the cluster were conceptually clear to raters. A five layer cluster on this map represents the *Workplace Environment* which has a high stress value as indicated on the legend and suggests that statements located in the cluster were not as conceptually significant of the theme of the cluster but were more indicative of linking or bridging to the other clusters.

The cluster legend in Figure 10 shows how clusters bridge toward one another. For example a cluster with 1 layer bridges toward a cluster with 2 layers. Participants felt that *Staff Efficiency* (1 layer) significantly impacts *Client Services* (2 layers), and that *Client Services* (2 layers) significantly impacts *Organizational Structure* (4 layers) and *Workplace Environment* (4 layers). Participants felt that *Organizational Structure* (4 layers) significantly impacts *Workplace Environment* (4 layers). Finally, participants' sorting suggests that *Workplace Environment* significantly impacts *Funding* (5 layers).

Point and Cluster Bridging Map

The *point and cluster bridging map* is a composite of the *point bridging and cluster bridging maps*. Figure 11 shows clusters that are anchors and well defined, and clusters that impact or serve as bridges to other clusters. It also shows statements that are anchors to a cluster and those that bridge toward
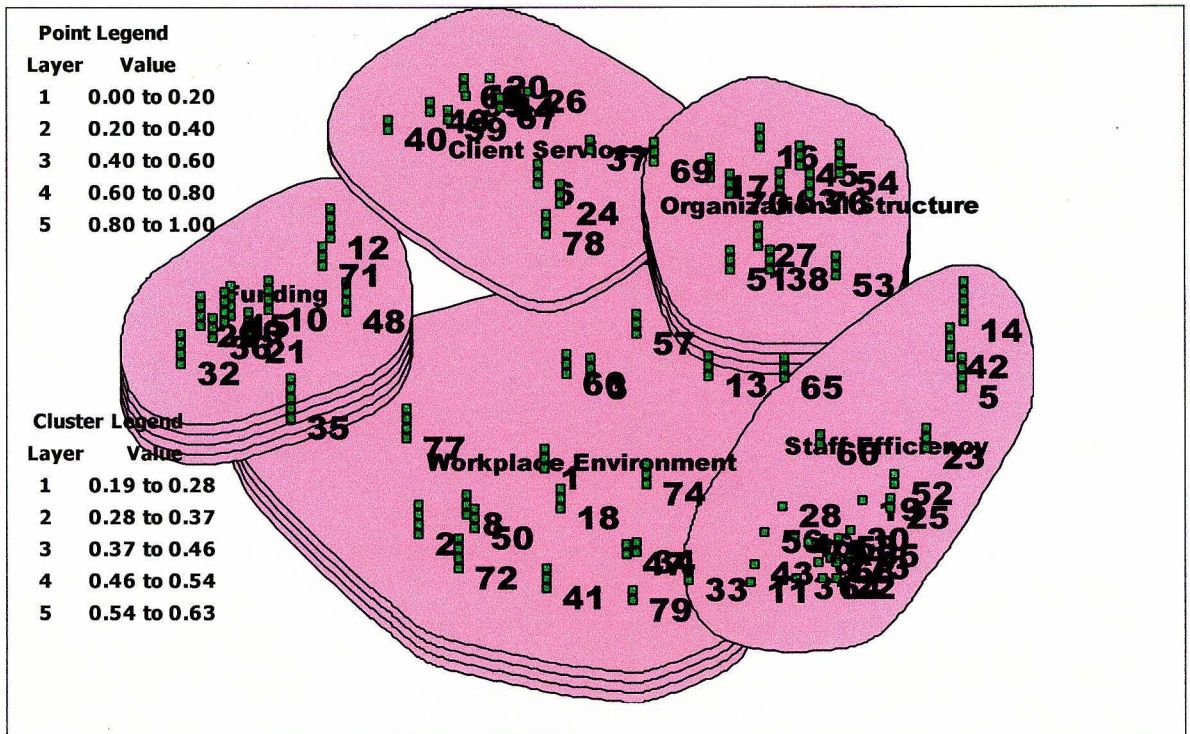
Figure 11. Point and Cluster Bridging Map representing cluster and statement stress values.

other clusters. For example, notice how the statements in the workplace environment cluster stand together near the staff efficiency cluster. After viewing the statements by number, it becomes clear that statements 71: *The organization has the ability to compete with other agencies for resources,* 41: *Conflict is handled openly,* 79: *Employees communicate well,* 33: *The organization has low*

absenteeism, 47: *There are low injury rates,* 64: *Staff members feel committed to the organization,* 50: *Managers are available for guidance,* and 8: Managers are available for support, all impact the staff efficiency cluster. Notice how these statements are positioned on the bottom of the workplace environment cluster ostensibly moving toward the staff efficiency cluster. The position of these statements indicates that participants felt that these concepts are processes in the workplace environment *and* impact staff efficiency (Figure 11).

Bridging Statement Report

After concept maps are computed based on bridging analysis, another report is generated that shows the stress values or goodness of fit for each statement. Lower stress values signify that the statement is congruent with the cluster label or theme. Higher stress values suggest that the statement is a bridge or link to the cluster that it is reaching toward.

The stress factors in bridging indicate the goodness of fit to the cluster. Accordingly, if a statement has a low stress value it can be said that it is truly indicative of the theme of that cluster. However there is much to be gained by the observation of higher stress values in bridging analysis. Just as a lower stress value indicates the robustness of the cluster theme, higher stress values, especially for those that are reaching out to other clusters, have tremendous implications.

It is important to view the maps from a whole picture perspective, taking into consideration all aspects of the data analysis which include sort pile, cluster,

and bridging analysis. The following sections will highlight elements of those clusters with higher stress values and their implications.

   Funding. Participant sorts for bridging analysis yielded an average cluster stress value of .63 (Table19). This very high stress value has implications

Table 19

Funding

	Funding	
71	The organization has the ability to compete with other agencies for resources.	.57
36	Spending is controlled.	.59
10	The organization has the resources it needs to adequately provide services.	.61
29	The organization has adequate funding.	.61
15	The organization is always looking for new funding sources.	.61
32	The organization constantly develops multiple funding sources.	.63
80	The organization has multiple funding sources.	.63
21	The organization spends money responsibly.	.65
48	There is little government oversight of organization's programs.	.68
12	Communicates with the community through advertisement of services.	.75
	Average	.53

for the contingency model of systems perspective. The cluster itself is small or compact and has high bridging value to other clusters. Its size is indicative of the closeness of the statement sorts to one another and portrays participants' vision of a clear understanding of how they represent a solid theme – funding. The statements depict a very goal oriented cluster—the survival of the organization. As revealed by the first statement in the bridging analysis of funding, statement 71 has a stress value of .57, is the anchor statement for this cluster, and also has a clear connection to client services. Although it is an anchor (as represented by the lowest stress value in the group) this statement is *reaching out* to client services. The interpretation for this occurrence is that statement number 71 *(The*

organization has the ability to compete with other agencies for resources) is the primary statement representing the conceptualization of funding, but has the additional inference of impacting client services. Statement 12 has a stress value of .75 and is the last statement highlighted in the bridging report. Statement 12 *(The organization communicates with the community through advertisement of services)* is the only other statement in the funding cluster that impacts client services. Put another way, *the organization's ability to compete with other agencies for resources and communicating with the community through advertisement of services impacts client services.*

Other statements that clearly bridge to other clusters are statements 36: *Spending is controlled,* 10: *The organization has the resources it needs to adequately provide services,* 29: *The organization has adequate funding,* 15: *The organization is always looking for new funding sources,* 32: *The organization constantly develops multiple funding sources,* 80: *The organization has multiple funding sources,* 21: *The organization spends money responsibly,* and 48: *There is little government oversight of organization's programs,* all reach toward and impact the workplace environment cluster.

Organizational structure. This cluster had an average stress value of .54 indicating that the cluster as a whole is a bridging cluster (Table 20). Statement 70 is the first statement on the bridging analysis report with a stress value of .42 indicating that it is an anchor statement for this cluster. Statement 54 is the last statement on the report with a stress value of .72. Both of these statements are located in the middle of the cluster along with statements 17: *The organization*

Table 20

Organizational Structure

	Organizational Structure	
70	The organization provides quality services.	.42
17	The organization provides services that are actually needed.	.43
38	The organizational mission is clear.	.46
27	Everyone knows the organization's mission.	.49
51	The organization has a long range plan.	.50
76	The organization achieves outcomes.	.57
63	The agency is efficient.	.57
53	The organization has up to date technology.	.58
45	The organization fills an important role in the community.	.59
16	The organization works cooperatively with other community agencies.	.59
54	Organizational leaders are respected by community	.72
	Average	.54

provides services that are actually needed, 76: The organization achieves

outcomes, 63: The agency is efficient, 45: The organization fills an important role

in the community, and 16: *The organization works cooperatively with other*

community agencies, and lie in between the client services, staff efficiency, and

workplace environment clusters indicating a bridge to those concepts. A

statement representing these statements within this cluster is: *The organization*

that provides quality and needed services, has organizational leaders that

respected by the community, achieves outcomes, is efficient, fills an important

role in the community, works cooperatively with other agencies, and impacts

client services, staff efficiency, and the workplace environment in an effective

organization. Statements 38: *The organizational mission is clear,* 27: *Everyone*

knows the organization's mission, 51: *The organization has a long range plan,*

and 53: *the organization has up to date technology,* bridge between the

workplace environment cluster and the staff efficiency cluster, indicating that

these statements impact both the workplace environment and staff efficiency. A statement representing these statement numbers within the cluster is as follows: *The organization that has a clear mission that everyone knows, a long range plan and up to date technology will impact staff efficiency and the workplace environment in an effective organization.*

Workplace environment The average stress value for this cluster was .51 (Table 21). Anchor statements for this cluster are 33: *The organization has a low rate of absenteeism,* 34: *The workplace is pleasant,* and 47: *Tthere are low rates of injury at the organization.* These statements have stress values of .23; .23; and .33 respectively. Although these statements are anchors, they are located nearest the staff efficiency cluster. A collective statement representing this cluster might be: *Low rates of absenteeism, a pleasant workplace, and low injury rates are indicative of an effective workplace environment in an effective organization.* Statement 47 is the only statement of the three that has a higher than average stress value indicating that it also acts as a bridge to the staff efficiency cluster. A statement representing this presentation would read: *Low rates of injury impact staff efficiency in an effective organization.* Statements 2: *Communication occurs from the top down,* 77: *Efficiency is routinely encouraged within the organization,* and 35: *There is a high level of interagency communication in the organization,* yield the highest stress values in this cluster of .75, 76, and 1.00 respectively. Statement 35 is situated almost on top of the funding cluster while the other two statements are reaching toward the funding cluster. A representative statement would read: *Communication occurring from*

Table 21

Workplace Environment

	Workplace Environment	
33	The organization has a low rate of absenteeism.	.23
34	The work place is pleasant.	.23
47	There are low rates of injury at the organization.	.33
79	Employees communicate well.	.39
74	Employees understand how their departments fit into the overall budget.	.40
18	The work environment feels organized.	.41
13	The organization offers opportunities for staff to be promoted.	.42
65	The organization has low staff turnover.	.44
57	Organizational leaders are respected by employees.	.46
41	Conflict is handled openly.	.49
3	The organization pays competitive wages and salaries.	.50
1	The organization uses outside trainings to stay abreast of current practices.	.51
66	Case loads are reasonable.	.55
8	Managers are available for support.	.57
50	Managers are available for guidance.	.58
72	Communication occurs from the bottom up within the organization.	.69
2	Communication occurs from the top down.	.75
77	Efficiency is routinely encouraged within the organization.	.76
35	There is a high level of interagency communication in the organization.	1.00
	Average	.51

the top down, routine encouragement of efficiency, and high levels of interagency communication impact funding within an effective organization.

These are process oriented activities based on the human relations perspective which maintains that the goal of any organization is survival of the workplace for social interactions. All bridging statements in this cluster demonstrate the application of the human relations perspective.

   Client services. This cluster has a stress value of .29 indicating that the statements are a good fit for the cluster (Table 22). Some statements in this cluster tend to be more tightly clustered together while others are more spread

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Table 22

Client Services

	Client Services	
20	Clients reach their goals.	.14
26	Hours of operation match the needs of clients.	.17
39	Clients feel respected.	.17
61	Eligibility criteria for clients are flexible.	.20
62	Eligibility criteria for clients are clear.	.20
49	Clients are satisfied with the cost of services.	.23
67	There are individualized services within the organization.	.23
59	Clients are viewed as stakeholders.	.23
44	Clients are satisfied with the convenience of services.	.25
37	Services are changed to adapt to changes in the community.	.36
40	Services are affordable to clients.	.36
24	Interests of stakeholders are important.	.41
69	The organization is responsive to the needs of clients.	.41
78	Interests of stakeholders (clients and staff) are important.	.46
6	The organization uses evidence-based practices to serve clients.	.51
	Average	.29

out with several anchors. Many statements bridge the other clusters. Statement

20: *Clients reach their goals* has a stress value of .14 indicating that it is a solid

anchor for the theme of this cluster. Statements 26: *Hours of operation match the*

needs of clients, and 39: *Clients feel respected,* both yielded stress values of .17

also indicating that these statements are anchors for the theme of this cluster.

The last three statements in this cluster's bridging report are 69: *The organization*

is responsive to the needs of clients, 78: *The interests of stakeholders (clients*

and staff) are important, and 6: *The organization uses evidence based practices*

to serve clients. These statements have stress values of .41, .46, and .51

respectively and are situated between the funding, client services, and workplace

environment clusters. A statement reflective of this group would read:

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Organizations that are responsive to the needs of clients, consider the interest of stakeholders (clients and staff), and use evidence based practice, have impact on funding, client services, and the workplace environment in effective organizations.

Staff efficiency. This cluster holds the lowest stress value of the five at an average of .19 (Table 23). It is also compact and appears to have many statements tightly clustered together indicating that they are closely connected by participant's cognitive structures. Statements 68: *Staff members have roles that are flexible,* 73: *Staff members feel that their contributions are valued,* 7: *Staff members are satisfied with their jobs,* 75: *There are opportunities for staff to be creative,* 9: *Staff members feel like they are part of a team,* 4: *Staff members have freedom to make decisions,* 58: *Staff members can make decisions independently relative to their roles,* 46: *Staff members are well trained,* 64: *Staff members feel committed to the organization,* 22: *Staff members participate in the change process,* 55: *Staff members are resourceful,* 43: *Staff morale is generally good,* 56: *Staff members receive regular feedback on their performances,* 30: *Staff members feel that they are treated fairly,* 31: *Staff members try new ways of doing things,* 28; *Staff members get along with each other,* 19: *Staff members are qualified,* 11: *Staff members feel committed to the organization's mission,* and 25: *Employees contribute to the decisions that are made.* These statements are all indicative of staff efficiency in effective organizations.

Of special interest with regard to bridging analysis in this cluster are the statements that have the highest stress values in the cluster. Those are

Table 23

Staff Efficiency

	Staff Effectiveness	
68	Staff members have roles that are flexible.	.00
73	Staff members feel that their contributions are valued.	.00
7	Staff members are satisfied with their jobs.	.00
75	There are opportunities for staff to be creative.	.01
9	Staff members feel like they are part of a team.	.02
4	Staff members have freedom to make decisions.	.03
58	Staff members can make decisions independently relative to their roles.	.04
46	Staff members are well trained.	.04
64	Staff members feel committed to the organization.	.04
22	Staff members participate in the change process.	.06
55	Staffs are resourceful.	.07
43	Staff morale is generally good.	.07
56	Staff members receive regular feedback about their performance.	.08
30	Staff members feel that they are treated fairly.	.09
31	Staff members try new ways of doing things.	.11
28	Staff members get along with each other.	.11
19	Staff members are qualified.	.18
11	Staff members feel committed to the organization's mission.	.19
25	Employees contribute to the decisions that are made.	.24
60	There is low staff turnover within the organization.	.30
52	Staff members have supplies they need to do the job.	.31
23	Staff members keep thorough records.	.41
5	Staff members return phone calls promptly to staff at other agencies.	.72
42	Staff members return phone calls promptly to clients.	.77
14	Staff members listen to the concerns of clients.	.94
	Average	.19

statements 60, 52, 23, 5, 42, and 14 which extend toward the organizational

structure cluster. These statements reflect processes of an organization, and an

appropriate statement might read: *Low staff turnover, staff having adequate*

supplies, keeping thorough records, returning phone calls to clients and staff at

other agencies, and listening to the concerns of clients impacts the organization's

structure in effective organizations. This statement is indicative of what Norlin,

Chess, Dale, and Smith (2003) referred to as systems perspective being used as a bridge between bureaucratic structure and human relations processes. The bureaucratic perspective requires that structures and functions be mandated by the organization, e.g. staff having adequate supplies, keeping thorough records and returning phone calls. Low staff turnover cannot be mandated nor can the activity of staff listening to the concerns of clients. These activities are coupled with the human relations perspective, but require the structure and function of the elements of bureaucratic perspective to happen. The systems perspective maintains that by having adequate supplies and requiring that staff keep good records of their contacts, for example, will influence the activities that cannot be mandated but are carried out on an informal basis.

Pattern Matches

A pattern match was developed from the data from participants' sorting, which generates cluster contents that are labeled and the ratings, which yield information about how relatively important are the ideas in the clusters (Figure 12). A pattern match identifies the degree of agreement found between two scales such as importance and feasibility.

The connecting rung of the ladder shown on the pattern match notes the comparison between the two ratings. If a line that represents cluster A is high on the left axis and quite low on the right axis, the subgroup represented by data on the left placed more value on the items in cluster A than the participants by the right axis data.
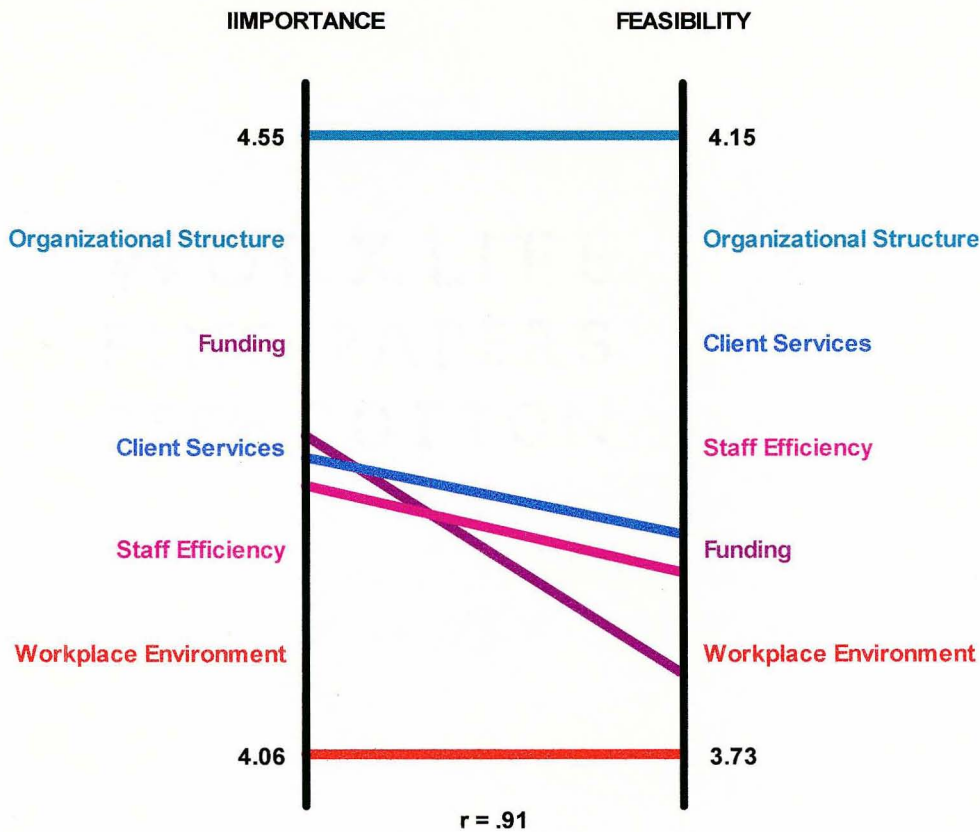
Figure 12. Absolute Pattern Match of importance and feasibility of statements by all participants.

Labels and cluster lines are color coded and the labels are evenly spaced for easy reading. The lines cross the axis at the relative point between the maximum and the minimum values as calculated.

Ranges are smaller when rating maps and pattern matches are computed because ratings often start with a narrow scale, such as a one-to-five importance rating. The point rating map show the average of each statement across all of the raters selected. The cluster rating map indicates the average of those points. With each average, the range is narrowed drawing the mean toward the center leading to a very narrow range of means across the cluster rating map. Although

the range is small, the relationship between factors that are rated high and those rated low on average remains the same; the items that a majority of participants rated highly are reflected as such in the highly rated clusters, and those ideas that were rated comparatively lower are shown in clusters with a lower overall value.

An ideal pattern match would portray complete agreement between the left side opinions and those on the right side shown by perfectly horizontal lines from left to right indicating agreement between the two ratings with an r value of 1.0. The less the graph resembles a ladder, the less agreement exists between the measures.

There are two types of pattern matches, relative and absolute. A relative pattern match shows the actual maximum and minimum cluster rating for each scale, such as importance and feasibility, showing readers the difference in how the ratings for each cluster compare to each other. An absolute pattern match shows both scales with a set maximum of 5 and minimum of 1, enabling a comparison of the two scales. For example, an absolute pattern match may show that, on the whole, participants gave higher importance ratings than feasibility ratings. Using bivariate analysis the r value, or correlation coefficient, indicates the strength of agreement between the two ratings.

As seen in Figure 12 which represents an *absolute metric pattern match*, r = .91 indicates a high agreement between scales. The feasibility rating on the right side is initially lower in all areas. The clusters are ordered based on their ratings, so the *client services* cluster falls under the *organizational structure*

cluster on the feasibility side. Alternately, the *funding* cluster falls under the

organizational cluster on the right. What is important to remember in the pattern

match is the color coding. The metric for *funding* falls between *funding* and *client*

services on the importance side and well below the *workplace environment*

cluster, signifying that participants did not feel that funding issues were as

feasible as they were important. Although the pattern match does not exactly

resemble a ladder, it approaches the ladder pattern. The two rungs that resemble

a ladder are at the *organizational structure* level and the *workplace environment*

level. Approximately 82% of participants agreed on the statements regarding

importance and feasibility. Although this is a high correlation, disagreement

between importance and feasibility of the statements is noted.

Go Zone Analysis

The *Go Zone* in Figure 13 is a simple bivariate plot divided into four

quadrants using the axes of the two scales for a view of the important and

feasible ideas. Clusters are analyzed independently to produce a *Go Zone* for

each one. Each statement indicative of nonprofit social welfare organizational

effectiveness was gathered into a specific cluster with other similar ideas. These

descend into one of the quadrants: high importance/high feasibility, high

importance/low feasibility, low importance/high feasibility and low importance/low

feasibility. Those in the high/high area are identified as the *Go Zone* and warrant

concentrated attention. The statements that fall into the high importance/low
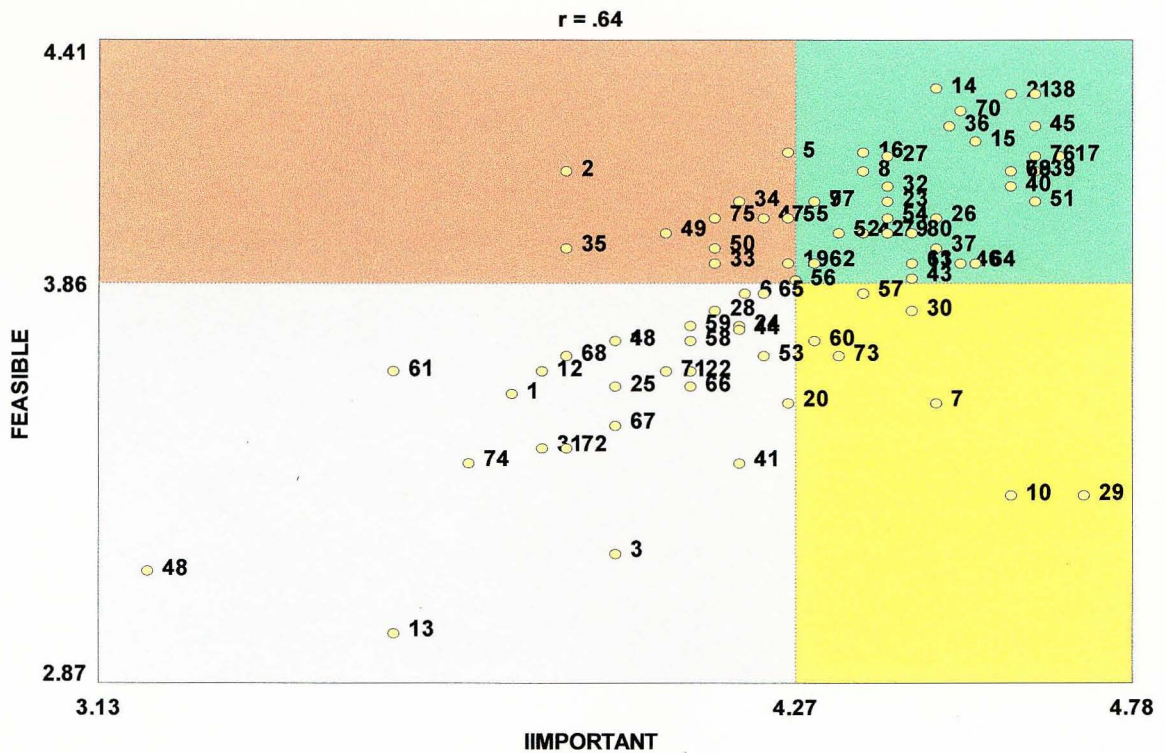
Figure 13. Go Zone Analysis of importance and feasibility of statements related to nonprofit social welfare organizational effectiveness.

feasibility and low importance/high feasibility are known as *Gap Zones* and provide the potential to address gaps at the organizational level of analysis. *Gap zone* statements were numbers 49, 35, 2, 73, 60, 57, 30, 7, 47, 34, 20, 50, 33, 75, 10, and 29. As seen in the green area of the plot, participants rated the following statements as both important and feasible to effective organizations: 5, 8, 9, 11, 14, 15, 17, 18, 19, 21, 23, 26, 27, 32, 36, 37, 38, 39, 40, 42, 43, 45, 46, 51, 52, 54, 55, 56, 62, 64, 69, 70, 76, 79, and 80.

Gap Zone statements. Statements identified by participants as being important but having low feasibility for their organizations were focused on organizational leaders being respected by employees, the organization having

adequate resources and funding and low staff turnover, and staff members

feeling like they are treated fairly, that their contributions are valued, and satisfied

with their jobs (Table 24). Of considerable interest is the feeling that participants

had about clients reaching their goals as being important but not feasible.

Statements identified by participants as being feasible but having low importance

values within their organizations were focused on having high levels of

interagency communication that occurs from the top down. Participants felt that

opportunities for staff to be creative, having a low rate of injury and absenteeism,

and working in a pleasant place were highly feasible, but not important. With

regard to client services, participants felt that clients' satisfaction with the cost of

services was feasible but not important.

Table 24

Gap Zone Statements

High Importance /Low Feasibility		High Feasibility/ Low Importance	
10	The organization has the resources it needs to adequately provide services	2	Communication occurs from the top down.
7	Staff members are satisfied with their jobs.	35	There is a high level of interagency communication within the organization.
20	Clients reach their goals.	49	Clients are satisfied with the cost of services.
29	The organization has adequate funding.	50	Managers are available for guidance.
30	Staff members feel they are treated fairly.	33	The organization has a low rate of absenteeism.
57	Organizational leaders are respected by employees.	75	There are opportunities for staff to be creative.
60	There is low staff turnover within the organization.	34	The workplace is pleasant.
73	Staff members feel that their contributions are valued.	47	There are low rates of injury within the organization.

Go Zone statements. The statements that participants agreed were both important and feasible to an effective organization are seen in their entirety in Table 25. Thirteen statements were extracted under the **Staff Efficiency** cluster in Table 25, four of which were bridging statements. This was the largest number of statements extracted from any of the five clusters. These statements were 51: *Staff return phone calls to other agencies,* a statement extrapolated from the systems perspective which extended toward the Client Services cluster; 23: *Staff keep thorough records,* a statement extrapolated from the bureaucracy perspective which extended toward the Workplace Environment cluster; 42: *Staff return phone calls to clients,* a statement extrapolated from the systems perspective which extended toward the Workplace Environment cluster; and 52: *Staff members have the supplies they need to do the job,* a statement extrapolated from the contingency model which extended toward the Organizational Structure cluster. All other statements in this cluster were anchors: 9: *Staff members feel like they are part of a team,* a statement extrapolated from the contingency model; 11: *Staff members feel committed to the organization's mission,* a statement extrapolated from the bureaucracy perspective; 19: *Staff members are qualified,* 14: Staff listens to the concerns of clients, 43: *Staff morale is generally good,* a statement extrapolated from the human relations perspective; 46: *Staff are well trained,* a statement extrapolated from the contingency model; 55: *Staff members are resourceful,* a statement extrapolated from the contingency model; 56: *Staff receive regular feedback on their performances,* a statement extrapolated from the human relations

Table 25

Go Zone Statements of Importance to an Effective Organization

Staff Efficiency	
5	Staff members return phone calls promptly to staff at other agencies.
9	Staff members feel like they are part of a team.
11	Staff members feel committed to the organization's mission.
14	Staff members listen to the concerns of clients
19	Staff members are qualified.
23	Staff members keep thorough records.
42	Staff members return phone calls promptly to clients.
43	Staff morale is generally good.
46	Staff members are well trained.
52	Staff members have supplies they need to do the job.
55	Staff members are resourceful.
56	Staff members receive regular feedback about their performance.
64	Staff members feel committed to the organization.
Organizational Structure	
17	The organization provides services that are actually needed.
27	Everyone knows the organization's mission.
38	The organizational mission is clear.
45	The organization fills an important role in the community.
51	The organization has a long range plan.
54	Organization leaders are respected by the community.
70	The organization provides quality services.
76	The organization achieves outcomes.
Client Services	
26	Hours of operation match needs of clients.
37	Services are changed to adapt to changes in the community.
49	Clients feel respected.
40	Services are affordable to clients.
62	Eligibility criteria for clients are clear.
69	The organization is responsive to the needs of clients.
Funding	
15	The organization is always looking for new funding sources.
21	The organization spends money responsibly.
32	The organization constantly develops multiple funding sources.
36	Spending is controlled.
80	The organization has multiple funding sources.
Workplace Environment	
8	Managers are available for support.
18	The workplace feels organized.
79	Employees communicate well.

perspective; and 64: *Staff members feel committed to the organization,* a

statement extrapolated from the bureaucracy perspective.

Eight statements were extracted under the **Organizational Structure**

cluster in Table 25. This was the second largest number under any of the five

clusters. There were no anchor statements in this group—all were bridging

statements: 17: *The organization provides services that are actually needed,* a

statement extrapolated from the systems perspective and extending toward the

Client Services cluster; 54: *Organizational leaders are respected by the*

community, 27: *Everyone knows the organization's mission,* a statement

extrapolated from the bureaucracy perspective that extended toward the Client

Services cluster; 38: *The organizational mission is clear,* a statement

extrapolated from the bureaucracy perspective which extends toward the Client

Services cluster; 45: *The organization fills an important role in the community,* a

statement extrapolated from the systems perspective which extends toward the

Client Services cluster; 51: *The organization has a long range plan,* a statement

extrapolated from the systems perspective which extends toward the Client

Services cluster; 70: *The organization provides quality services,* a statement

extrapolated from the bureaucracy perspective which extends toward the Client

Services cluster; and 76: *The organization achieves outcomes,* a statement

extrapolated from the bureaucracy perspective which extends toward the Client

Services cluster.

Six anchor statements were extracted under the **Client Services** cluster in

Table 25: 26: *Hours of operation match the needs of the client,* a statement

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extrapolated from the systems perspective; 39: *Clients feel respected,* a statement from the systems perspective; and 62: *Eligibility criteria for clients are clear,* a statement from the systems perspective. Three bridging statements fell into this cluster: 37: *Services are changed to adapt to the changes in the community,* a statement extrapolated from the systems perspective which extends toward the Organization Structure cluster; 40: *Services are affordable to clients,* a statement extrapolated from the systems perspective which extends toward the Funding cluster; and 69: *The organization is responsive to the needs of the clients,* a statement from the systems perspective which extends toward the Organization Structure cluster.

Five bridging statements were extracted under the **Funding** cluster in Table 25, and no anchor statements, signifying their impact on the cluster toward which they are reaching. They were all extrapolated from the systems perspective: 15: *The organization is always looking for new funding sources* which extend toward the Client Services cluster; 21: *The organization spends money responsibly* which extended toward the Workplace Environment cluster; 80: *The organization has multiple funding sources,* 32: *The organization is constantly developing new funding sources* which extended toward the Client Services cluster; and 36: *Spending is controlled* which extends toward the Workplace Environment cluster.

Finally, three bridging statements were extracted under the **Workplace Environment** cluster: 79: *Employees communicate well,* 8: *Managers are available for support,* a statement extrapolated from the human relations

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perspective which extended toward the Funding cluster; and 18: *The work environment feels organized,* a statement extrapolated from the bureaucracy perspective which extends toward the Funding cluster.

How Results of Data Analysis Speak to a Definition of Nonprofit Social Welfare Organizational Effectiveness in Kentucky

Breaking Down Statements by Perspectives

The key to interpreting the results for development of a definition of nonprofit organizational effectiveness in Kentucky is to remember that participants rated the statements on both their *importance* and *feasibility.* In other words, participants felt that not only were these factors *important*, but they were also *feasible* in effective organizations and could be instituted within their own organizations; or what Weik (1969) pointed to as a *workable level of certainty.* Weik maintained that organizations should not be looked at as solid units, but for the transactions that transpire within them, and their activities should focus on a workable level of certainty or those activities that can reasonably be accomplished within the organization. Reed (1999) suggested that from the systems perspective, employees are viewed as being integrated into the broader organizational structure or collective which, in turn, shapes the organization's culture. Weik further expanded on this thought by pointing out that the scholars of the contingency model of the systems perspective agree that the organizational stakeholders who develop the culture of the organization are the primary judges of a workable level of certainty, or the feasibility factor.

Given that organizational theorists provided the impetus for the statements identified in this study from the three most prominent organizational theories, it is important to consider which perspectives provided the statements found to be the most important factors in nonprofit organizational effectiveness. Nineteen statements were extracted from the systems perspective (including statements from the contingency model, 9 from the bureaucracy perspective, and 3 from the human relations perspective. Taking into account Norlin, Chess, Dale, and Smith's (1999) assertion that factors from the systems perspective act as bridges or links between the bureaucracy (planned processes) and human relations perspectives (internal organizational interactions), an unmistakable insight can be gained from the extracted statements. Activities represented by statements from the bureaucratic and human relations perspectives are homeostatic and indicative of occurring as reactions to changes in the internal organizational environment for the sake of the organization's survival. Weik (1977) maintained that activity statements from the systems perspective are representative of the interactions with the organization's external environment and emphasize flexibility, adaptability, and profitability. This is accomplished, as explained by Weik and Scott (1987), by gathering and processing information and having clear communications with all stakeholders to maintain stable operations. These processes, according to Scott (1987) assure that the organization will be aware of needed changes and have the ability to react accordingly.

Finally, Sztompka (1993) surmised that activity statements from the systems perspective highlight internal dynamics of the organization that can predict and explain institutional consequences. Table 26 provides a breakdown of the statements by theoretical perspective. Notice how the statements extracted under the systems perspective clearly emphasize flexibility, adaptability, and profitability (the statements are not arranged in an order that emphasizes their connection to one another in this table). The assumption is that the activities from the systems perspectives will provide the impetus for the activities in the human relations and bureaucratic perspectives to occur. Statements 9, 52, 46, and 55 above are from the contingency model of the systems perspective and emphasize the needs of staff to fulfill their duties. They are not necessarily drawing from the external environment as are the other statements extracted from the systems perspective.

Providing a Framework for the Statements to Define Nonprofit Social
Welfare Organizational Effectiveness

Robbins (1990) maintained that a definition of organizational effectiveness should be generated based on how the organization's processes and goals reflect the desires of the stakeholders. Further, he said that how an organization attains its means and ends should be considered in the equation, and finally, Robbins asserted that the definition of organizational effectiveness should include how the organization's processes, goals, and attainment of means and ends relate to the organization's structure. This process takes into account all three theoretical perspectives. Scott (1987) had earlier held similar views by

Table 26

Statements Categorized by Perspectives

	Bureaucratic Perspective: Planned Processes, Homeostatic
27	Everyone knows the organization's mission.
28	The organization's mission is clear.
18	The work environment feels organized.
19	Staff members are qualified.
11	Staff members feel committed to the organization's mission.
23	Staff members keep thorough records.
64	Staff members feel committed to the organization.
76	The organization achieves outcomes.
70	The organization provides quality services.
54	Organizational leaders are respected by the community.
	Systems Perspective: Internal Dynamics, Homeostasis
17	The organization provides services that are actually needed.
51	The organization has a long range plan.
32	The organization constantly develops multiple funding sources.
36	Spending is controlled.
9	Staff members feel like they are part of a team.
21	The organization spends money responsibly.
52	Staff members have supplies they need to do the job.
46	Staff members are well trained.
39	Clients feel respected.
37	Services are changed to adapt to changes in the community.
26	Hours of operation match needs of clients.
40	Services are affordable to clients.
69	The organization is responsive to the needs of clients.
15	The organization is always looking for new funding sources.
55	Staff members are resourceful.
42	Staff members return phone calls promptly to clients.
45	The organization fills an important role in the community.
62	Eligibility criteria for clients are clear.
5	Staff members return phone calls promptly to staff at other agencies.
14	Staff members listen to the concerns of clients.
79	Employees communicate well.
80	The organization has multiple funding sources.
	Human Relations Perspective: Internal Processes, Homeostatic
8	Managers are available for support.
6	Staff members receive regular feedback on their performances.
43	Staff morale is generally good.

insisting that any definition of organizational effectiveness should be based on structures, processes, and outcomes. These scholars provide an evaluative approach to develop a definition. A more concrete framework was needed in addition to evaluating the final statement groupings and drawing them into a definition. The need for a framework led back to the work of Griffith (2003) who studied organizational perceptions to develop a framework to measure effectiveness at schools. He considered the activities that were performed at schools and utilized stakeholders to judge the activities with regard to what they value and what outcomes they held to be important. Griffith developed a framework to define organizational effectiveness within schools and maintained that:

> Concepts of empowerment, innovation, and collective efficacy at the organizational level have been associated with positive job performance, job satisfaction, and organizational commitment at the staff level; which in turn contributes to significantly higher student achievement at the outcomes level. (Griffith, 2003, pp. 31-45)

Table 27 shows how Griffith's (2003) framework of *if-then* applies to the statements which were selected by participants to be both important and feasible to effective nonprofit social welfare organizations in Kentucky. Griffith's definition of organizational effectiveness is based on his work with the competing values approach (Box 1).

Table 27

Griffith's Framework as a Prototype to Develop a Definition of Nonprofit

Social Welfare Organizational Effectiveness

Organizational Level Empowerment, Innovation, and Collective Efficacy If ⌐ Then ⌐	Staff Level Job Performance, Job Satisfaction, and Organizational Commitment If ⌐	Outcomes Level High Levels of Achievement of Desired Organizational Outcomes Then
The organization provides needed services.	Staffs will feel that they are part of a team.	The organization will achieve stated outcomes.
The organization mission is clear.	Staff members will be committed to the organization's mission.	The organization will provide quality services.
Everyone knows the organization mission.	Staff members will be committed to the organization.	The organization will fill an important role in the community.
The organization has a long range plan.	Staff members will be resourceful.	Clients will feel respected.
The workplace feels organized.	Staffs will return phone calls to clients.	
Managers are available for support.	Staffs will have good morale.	
Staffs have the supplies that they need to do the job.	Staffs will keep thorough records.	
The organization hires qualified staff.	Employees will communicate well.	
The organization has well trained staff.	Staff will listen to the concerns of clients.	
Staffs receive regular feedback about their performance.		
The organization constantly looks for new funding sources.		
The organization spends money responsibly.		
The organization constantly develops new funding sources.		
Eligibility criteria for clients are clear.		
Services change to adapt to the needs of the community		
Hours of operation match client's needs.		
Services are affordable to clients.		
The organization responds to the needs of clients.		
The organization has multiple funding sources.		
Organizational leaders are respected by the community.		

Box 1

Definition of Effective Nonprofit Social Welfare Organizations in Kentucky

Based on Models and Criteria

Effective nonprofit social welfare organizations in Kentucky are those that are able to *adjust to external conditions and demands by providing affordable and needed services to clients, adapting to the needs of the community, providing clear eligibility criteria for clients, constantly developing new sources of funding, controlling spending money responsibly, hiring well trained and qualified staff, providing management support in the form of regular performance feedback and adequate supplies for staff, and having a long range plan and clear mission statement that is known to all stakeholders.*

Summary of Concept Mapping

The Concept Mapping System (2003) utilizes multidimensional scaling, agglomerative hierarchical cluster analysis, bridging analysis, sort pile analysis, and Ward's Algorithm for statistical analysis of input data from participants. The input data were collected through a focus group process in which participants sorted, recorded, and rated statements generated from the literature regarding the elements of nonprofit social welfare organizational effectiveness. A series of conceptual maps were generated from the statement data that show how participants perceived the elements of effective organizations in the form of themes (clusters).

The Concept Mapping System (2003) is well suited for small sample sizes, requiring a minimum of 15 sorts, recordings, and ratings to produce strong statistical results. This is done through the nonparametric statistical process

inherent in the statistical analysis techniques of multidimensional scaling, agglomerative hierarchical cluster analysis, and Ward's algorithm.

Through the process of acquiring input data from 25 organizational representatives from eight regions of Kentucky regarding elements of organizational effectiveness, this researcher was able to gain an understanding of the concepts inherent in an effective organization from the perspective of nonprofit organizational stakeholders in Kentucky. Results of *important* and *feasible* statements indicative of effective organizations were consistent throughout the data analysis techniques, with the final statements that stakeholders rated as both *important* and *feasible* to an effective organization highlighted in the *Go Zone* analysis. The differences between *importance* and *feasibility* ratings, although slight, are discussed in depth in Chapter IV.

Grant Application and Evaluation Tool

The project was summarized and the results shared with the primary stakeholders who requested the information, including all maps. Based on the maps generated from the data, an aggregate account of stakeholders who participated placed primary emphasis on organizational structure as being the most important and feasible theme to be considered in the definition of organizational effectiveness in the nonprofit social welfare sector in Kentucky. Stakeholders additionally placed strong emphasis on organizational funding, staff efficiency, and client services as being important and feasible within their organizations and to be considered in a definition. The workplace environment emerged as the least important but produced some bridging impact on staff

effectiveness and client services. Staff efficiency produced very strong bridging values signifying tremendous impact on the workplace environment and client services. Factors were chosen based primarily on the participants' views that they were both important and feasible within organizations. Thirty-one statements emerged under the maps, specifically from the *Go Zone* analysis where participants agreed on importance and feasibility. These statements were eventually used to develop a definition of nonprofit social welfare organizational effectiveness in Kentucky, and inform the generation of a grant application and evaluation tool for the Foundation.

Prior to initiating the Concept System (2003) for this study, the Foundation was working with a grant application that required only (a) project narrative, (b) organizational budget with a section specifically outlining how Foundation funds would be expended, (c) other materials that the organization deemed appropriate, and (d) a copy of the organization's IRS 501c3 Tax Exemption Letter.

The original evaluation tool developed prior to the Concept Mapping study was based on a best practice scenario and required Foundation Board Members to assign ratings of (a) non-acceptable, (b) acceptable, or (c) superior to applicants' proposals. This system was reviewed by the Foundation and this researcher's committee chair and found not to be an appropriate tool due to the Foundation's need for an evaluative framework incorporating some type of valuation of elements found in effective organizations. Various evaluation

designs were submitted but were found to be insufficient for the Foundation's needs in a scoring mechanism.

After researching the literature on organizational effectiveness, it became clear that the concept of effectiveness was not only subjective to organizational scholars, it was also a concept that is politically charged depending on the interest of the stakeholders. A decision was made to utilize a research method to inform the development of an evaluation tool that would utilize the cognitive process of nonprofit social welfare organizational stakeholders in Kentucky. After investigating many research designs, it became apparent that Concept Mapping would provide a means to query stakeholders about their opinions of important elements of nonprofit social welfare organizations and generate quantitative findings that would ultimately inform an evaluative tool for the Foundation.

When work began on the evaluation tool, it became clear that a new grant application would be required to generate the information for evaluation. Although the focus of the deliverables became the generation of a grant application and then the development of an evaluative tool, the means of extrapolating the information remained consistent.

A grant application (Appendix C) was developed for the 2006 KSWF funding cycle based on the 35 rudiments generated from the study. Foundation members disagreed among themselves regarding how much value to place on each rudiment, but finally agreed on the selection of rudiments and valuations for each for the grant application. The evaluation tool (Appendix D) passed through

much of the same process. Several changes were made prior to Foundation

members deciding on a design.

CHAPTER V

DISCUSSION

This project was designed to determine the factors important to nonprofit

social welfare organizational effectiveness as identified by nonprofit

organizational stakeholders in Kentucky. As such, factors highlighted as being

the most important and feasible in the practices undertaken by nonprofit social

welfare organizations were identified by participants. However, it is interesting to

note the issues that were identified as being important but only moderately

feasible by participants, as well as those that were identified as not being

important or feasible.

Consideration of the Findings

Bureaucratic Perspective

Ten statements were extrapolated from the bureaucratic perspective

including one that was generated from both bureaucratic and systems

perspectives (using their code numbers):

18   The workplace feels organized.

11   Staff members feel committed to the organization's mission.

19   Staff members are qualified.

23   Staff members keep thorough records.

27   Everyone knows the organization's mission.

38   The organizational mission is clear.

64   Staff members feel committed to the organization.

70   The organization provides quality services (also found in systems

perspective).

76   The organization achieves outcomes.

54   Organizational leaders are respected by the community.

These statements were found predominately in two clusters: Organizational

Structure and Staff Efficiency. The statements indicative of the Staff Efficiency

cluster all had low stress values indicating that they were a good fit to the theme

of that cluster. However, the statements in the Organizational Structure cluster all

had very high stress values and were located in that cluster in an area that was

reaching toward the Staff Efficiency cluster. This finding suggests that the

structure of the organization with regard to providing quality services, achieving

outcomes, and having a clear organizational mission, greatly influences staff

efficiency by way of attracting qualified staff who perform quality tasks such as

record keeping and feeling committed to the organization. Consistent with the

bureaucratic perspective, these findings show that these structures and functions

at the organizational level impact Staff Efficiency. This perspective espouses a

closed system focusing on issues pertaining only to the organization and its

mission according to participants.

Human Relations Perspective

Three statements were accepted by participants as being both important

and feasible within this perspective (again using their code numbers):

157

8   Managers are available for support.

43   Staff morale is generally good.

56   Staff members receive regular feedback about their performances.

Statement 8 is located in the Workplace Environment cluster, has a high stress value and reaches toward the Staff Efficiency cluster that houses the other two statements (43 & 56). The statements under the Staff Efficiency cluster have low stress values indicating that they fit very well under the theme of the cluster. This result shows that according to participants, if managers are available for support, they will give regular feedback about staff performance (in a perfect world) and staff morale will be good. Human relations perspective is also a perspective based on closed systems. This is evidenced here by the focus of the statements on staff satisfaction with their workplaces. Hypothetically, according to this perspective, staff satisfaction will equal the primary organizational goal of organizational survival.

Systems Perspective

Nineteen statements identified as important and feasible under this perspective (using their code numbers):

15   The organization is always looking for new funding sources.

17   The organization provides services that are actually needed.

21   The organization spends money responsibly.

26   Hours of operation match needs of clients.

32   The organization constantly develops multiple funding sources.

36   Spending is controlled.

37   Services are changed to adapt to changes in the community.

39   Clients feel respected

40   Services are affordable to clients

42   Staff members return phone calls promptly to clients.

45   The organization fills an important role in the community.

51   The organization has a long range plan.

62   Eligibility criteria for clients is clear.

69   The organization is responsive to the needs of clients.

70   The organization provides quality services (also found under bureaucratic

        perspective).

5   Staff members return phone calls promptly to staff at other agencies.

14   Staff members listen to the concerns of clients.

79   Employees communicate well.

80   The organization has multiple funding sources.

It is especially interesting that the statements found under Organizational

Structure have high stress values and are related to provision of quality and

needed client services, a long range organizational plan, and filling an important

role in the community. Within the clusters they reach toward client services. All

statements under Client Services have a low stress value and are associated

with clients reaching their goals, feeling respected, and being offered affordable

and convenient services with clear eligibility and services that are adaptable to

client's needs. According to participants, the organization's stability, importance

in the community and providing quality and needed services greatly impacts the

nature of client services such as clear eligibility, convenience, affordability, adaptability to needs and clients feeling respected by the organization.

Statements found within the Organizational Funding cluster have high stress values and pertain to the organization having sufficient funding and prudent spending habits. These statements reach toward the Staff Efficiency cluster where all of the systems statements have low stress values and influence staff work activities such as returning phone calls.

All of the statements found under the systems perspective are connected to the environment outside of the organization (input), have impact (throughput) on both the organizational structures and functions (bureaucratic perspective) and influence (output) client and staff behaviors (human relations perspective). These findings have significance for Norlin, Chess, Dale, and Smith's (2003) assertion that the systems perspective provides a link between the factors associated with bureaucratic and human relations perspectives. They suggest that the systems perspective provides a sound mechanism for social work administrators to use in the practice of managing social welfare organizations.

Contingency Model of Systems Perspective

Statements found under this model were few but very robust in their significance. Only four statements were given the stature of importance and feasibility toward an effective organization from this perspective by participants. They were all found under the Staff Efficiency cluster and all had low stress values, signifying that they were indicative of the cluster theme (using their code numbers):

55   Staff members are resourceful.

52   Staff members have supplies that they need to do the job.

46   Staff members are well trained.

9   Staff members feel like they are part of a team.

These statements did not reach toward any other clusters. Their significance lies

with the detail of what staff should have to do in order to complete an efficient

and effective job of providing client services. According to participants, staffs

having the supplies they need to do their jobs, feeling like they are part of a team

and being well trained and resourceful are key factors to being efficient and

effective. This finding is consistent with the contingency model of *if – then*, and

provides the underpinning for three clusters. From a reductionism point of view *if*

all of the other factors highlighted in the clusters of Workplace Environment,

Organizational Funding, and Organizational Structure are met, *then* staff will be

efficient and effective and be able to meet the needs of clients–Client Services.

As Norlin, Chess, Dale, and Smith (2003) held: "Not only does the organization

affect the client-worker relationship; it has direct effects on the worker" (p 278).

They maintained that "the worker needs to understand how organizations behave

in order to organizationally participate in ways that advance both the direct

practice with clients and the personal and professional staff development" (p.

278). Systems perspective and the contingency model are open systems

perspectives and provide an excellent framework to analyze the elements of

organizational effectiveness as identified by participants.

Implications for Social Work Practice

As suggested by Norlin, Chess, Dale and Smith (2003), workers in social welfare organizations need to have an understanding of how organizations work to practice in a competent manner. If a service is needed in the community, the social worker must have some understanding of how to identify the need and establish an organization to offer the services.

Since social workers often become administrators and remain in helping roles, however, they are working at macro rather than a micro (individual counseling) levels and must understand management functions in a social welfare context. Norlin, Chess, Dale, and Smith's (2003) assumptions of systems as a unifying approach for generalist practice appears to be of pronounced importance in this respect. They maintain that systems perspectives offer the practitioner and administrator conceptualizations from which they can employ "more narrowly focused perspectives suited to specific practice situations" (p. 295).

Implications for Social Work Education

Dolgoff and Feldstein (1984) discussed the decline of an administrative tract in schools of social work. They maintained that social workers are now moving more toward working in private practice and are primarily focused on counseling individuals. Their view is that although bureaucratic social welfare organization are often frustrating, lack congruency between individual and organizational needs, and are racked with distorted time perceptions, rivalry, and conflict, they offer more in the way of providing a venue for social change. They

contended that social workers were originally motivated to institute social change and accept the impression that the demands of bureaucratic social welfare organizations often run counter to the social worker's professional orientation developed primarily through social work education.

It is social work education's duty to discuss these issues with students and mandate that material regarding social welfare organizational operations be taken as required course work. As Toren (1969) pointed out, rather than label social workers in relation to their autonomy (primarily developed through the educational process) it is better to ask: "Which aspects of the professional's daily conduct are controlled by whom, and how? If this is specified, the description of any profession becomes more complex and realistic and less ideal-typical" (p. 155).

Future Research

Future research must focus on using the contingency model of systems perspective, the Competing Values Approach and Concept Mapping to identify additional models of organizational effectiveness in other states. These elements in combination with the concept of organizational life cycle identified by Robbins (1990), and level of analysis promoted by Scott (1987) can be used to create a model to be used to analyze individual organizations to learn whether they are effective at their current programming or to query if they are focused on the right goals based on the structure of their organizations.

The Concept System

Concept Systems Inc. now offers online brainstorming, sorting and rating services, B. Pepe, (personal communication, September 18, 2006). This system could be utilized to engage other state or regional samples of nonprofit social welfare organizational stakeholders in identifying factors that are essential to nonprofit social welfare organizational effectiveness.

Limitations of the Study

The primary limitation of this study was the difficulty attracting stakeholders to attend focus groups. This resulted in a small sample size which was rectified by the Concept System's requirement for a total of 15 participants to yield robust statistical data.

Conclusion

This study narrowed down perspectives of organizational effectiveness and specifically applied them to identified constituencies in order to generate a grant application and evaluation tool to be used by philanthropic donors to make funding decisions. The materials that were developed were based on bureaucracy perspective (Weber, 1902/1947), human relations perspective (Rothlesberger & Dickenson, 1939; Mayo, 1945), and the contingency model of a systems perspective promoted by Simon (1947). The Competing Values Approach developed by Quinn and Rohrbaugh (1981) was used as a framework to compartmentalize the factors. The Concept Mapping System developed by Trochim (2003) was used as a research method to answer the question of the most important factors of nonprofit social welfare organizational effectiveness as

identified by nonprofit social welfare stakeholders. The Concept Mapping System (Trochim, 2003) was also used for data analysis and interpretation.

This project utilized a pattern of evaluation which was largely based on the Competing Values Approach. However, the design was heavily influenced by organizational scholars such as Dornbusch and Scott (1975) who maintained that evaluation could consist of conforming factors regardless of the organizational structures involved in the study.

After investigating the literature it became clear that a methodology would be needed that takes into account perspectives of organizational theorists and organizational stakeholder perspectives in seeking what Scott (1987) promoted as relative, rather than absolute, organizational effectiveness performance standards. Upon consideration of factors of nonprofit social welfare organizational effectiveness from Scott's (1987) rational, natural, and open systems, it became apparent that a link existed between theoretical perspectives and what Shilbury (2006) referred to as the development of a framework of multiple performance conditions inherent in nonprofit social welfare organizations.

Organizing the material from the definition of social welfare, to value underpinnings, to theoretical perspectives that generated the statement variables was, at times, very complex. As Norlin, Chess, Dale, and Smith (2003) contended, there is no commonly accepted perspective of organization let alone bone fide standards of nonprofit organizational effectiveness.

From the perspectives, approaches, and methods discussed above not only was a definition of organizational effectiveness in nonprofit social welfare organizations in Kentucky achieved, but it is clear that a model for predicting effectiveness has additionally emerged based on this exploratory study. My hope is that this research of organizational effectiveness will help to clarify definitions for other philanthropic organizations and promote future studies utilizing the identified model.

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APPENDIX A

ORGANIZATIONAL CHARACTERISTICS

DEMOGRAPHIC QUESTIONNAIRE

The following questions will help us interpret your information, so please take a moment to answer these questions about **you and/or your organization and the populations it serves**. Please choose the appropriate option for each of the following background questions. Thank You.

1. What is your role in your agency? (Choose One)

☐   I (or my family) receive services from this agency.

☐   Answer 2I work at this agency in a direct service position.

☐   Answer 3I work at this agency in a supervisory position.

☐   Answer 4 I work at this agency in an administrative position.

2. How many employees does your agency have? (Choose One)

☐   1 to 10

☐   11-50

☐   51-100

☐   101-250

☐   250+

3. How is your agency *primarily* funded? (Choose One)

☐   Donations only

☐   Local community funds ☐ State funds

☐   Federal funds

☐   Grants

☐   A Combination of the above

4. Is your agency accredited or licensed by a regulatory agency? (Choose One)

☐   Yes

☐   No

5. What type of services does your agency *primarily* provide? (Choose One)

☐   Health

☐   Mental health

☐   Prevention

☐   Crisis

☐   Vocational

☐   Other _____

APPENDIX B

RATING/RECORDING SHEET FOR IMPORTANCE AND FEASIBILITY

Thank you for participating in this Concept Mapping process. Please complete the rating forms below:

Rating Recording Sheet

Please select the number between 1 and 5 for each statement in terms of (a) how important you think it is to an effective organization and (b) how realistic you think it is for your organization given the current resources. Keep in mind that we are looking for what is *relative* Importance and Realistic; use **all** the values in the rating scale to make distinctions. Use the following scales:

Importance Rating

1= Relatively unimportant

2= Somewhat important

3= Moderately important

4 = Very important

5 = Extremely important

Feasibility Rating

1 = Not at all realistic

2 = Not very realistic

3 = Moderately realistic

4 = Very realistic

5 = Extremely realistic

Importance Rating					#	Statement	Feasibility Rating				
1	2	3	4	5	1	Use of outside trainings to stay abreast of current practice	1	2	3	4	5
1	2	3	4	5	2	Communication occurs from the top down	1	2	3	4	5
1	2	3	4	5	3	The organization pays competitive wages/salary	1	2	3	4	5
1	2	3	4	5	4	Staff have the freedom to make decisions	1	2	3	4	5
1	2	3	4	5	5	Staff return phone calls promptly to staff at other agencies	1	2	3	4	5
1	2	3	4	5	6	Uses evidence-based practices to serve clients	1	2	3	4	5
1	2	3	4	5	7	Staff are satisfied with their jobs	1	2	3	4	5
1	2	3	4	5	8	Managers are available for support	1	2	3	4	5
1	2	3	4	5	9	Staff feel like they are part of a team	1	2	3	4	5
1	2	3	4	5	10	The organization has the resources it needs to adequately provide services	1	2	3	4	5
1	2	3	4	5	11	Staff feel committed to the organization's mission	1	2	3	4	5
1	2	3	4	5	12	Communicates with the community through advertisement of services	1	2	3	4	5
1	2	3	4	5	13	The organization offers opportunities for staff to be promoted	1	2	3	4	5
1	2	3	4	5	14	Staff listen to the concerns of clients	1	2	3	4	5
1	2	3	4	5	15	The organization is always looking for new funding sources	1	2	3	4	5
1	2	3	4	5	16	The organization works cooperatively with other community agencies	1	2	3	4	5
1	2	3	4	5	17	The organization provides services that are actually needed	1	2	3	4	5
1	2	3	4	5	18	Work environment feels organized	1	2	3	4	5
1	2	3	4	5	19	Staff are qualified	1	2	3	4	5
1	2	3	4	5	20	Clients reach their goals	1	2	3	4	5
1	2	3	4	5	21	The organization spends money responsibly	1	2	3	4	5
1	2	3	4	5	22	Staff participate in the change process	1	2	3	4	5
1	2	3	4	5	23	Staff keep thorough records	1	2	3	4	5
1	2	3	4	5	24	Interests of stakeholders are important	1	2	3	4	5

1 2 3 4 5	25	Employees contribute to decisions that are made	1 2 3 4 5
1 2 3 4 5	26	Hours of operation match needs of clients	1 2 3 4 5
1 2 3 4 5	27	Everyone knows the organization's mission	1 2 3 4 5
1 2 3 4 5	28	Workers get along with each other	1 2 3 4 5
1 2 3 4 5	29	The organization has adequate funding	1 2 3 4 5
1 2 3 4 5	30	Employees feel they are treated fairly	1 2 3 4 5
1 2 3 4 5	31	Staff try new ways of doing things	1 2 3 4 5
1 2 3 4 5	32	Multiple funding sources	1 2 3 4 5
1 2 3 4 5	33	Low rate of absenteeism	1 2 3 4 5
1 2 3 4 5	34	Work place is pleasant	1 2 3 4 5
1 2 3 4 5	35	High levels of interagency communication	1 2 3 4 5
1 2 3 4 5	36	Spending is controlled	1 2 3 4 5
1 2 3 4 5	37	Services are changed to adapt to changes in the community	1 2 3 4 5
1 2 3 4 5	38	Organizational mission is clear	1 2 3 4 5
1 2 3 4 5	39	Clients feel respected	1 2 3 4 5
1 2 3 4 5	40	Services are affordable to clients	1 2 3 4 5
1 2 3 4 5	41	Conflict is handled openly	1 2 3 4 5
1 2 3 4 5	42	Staff return phone calls promptly to clients	1 2 3 4 5
1 2 3 4 5	43	Staff morale is generally good	1 2 3 4 5
1 2 3 4 5	44	Clients are satisfied with the convenience of services	1 2 3 4 5
1 2 3 4 5	45	The organization fills an important role in the community	1 2 3 4 5
1 2 3 4 5	46	Staff are well-trained	1 2 3 4 5
1 2 3 4 5	47	Low rates of injury	1 2 3 4 5
1 2 3 4 5	48	Little government oversight of organization's programs	1 2 3 4 5
1 2 3 4 5	49	Clients are satisfied with the cost of services	1 2 3 4 5
1 2 3 4 5	50	Managers are available for guidance	1 2 3 4 5
1 2 3 4 5	51	Organization has a long range plan	1 2 3 4 5
1 2 3 4 5	52	Staff have supplies they need to do the job	1 2 3 4 5
1 2 3 4 5	53	The organization has up-to-date technology	1 2 3 4 5
1 2 3 4 5	54	Organizational leaders are respected by community	1 2 3 4 5
1 2 3 4 5	55	Staff are resourceful	1 2 3 4 5

1	2	3	4	5	56	Staff receive regular feedback about their performance	1	2	3	4	5
1	2	3	4	5	57	Organizational leaders are respected by employees	1	2	3	4	5
1	2	3	4	5	58	Staff can make decisions independently relative to their roles	1	2	3	4	5
1	2	3	4	5	59	Client's are viewed as stakeholders	1	2	3	4	5
1	2	3	4	5	60	Low staff turnover	1	2	3	4	5
1	2	3	4	5	61	Eligibility criteria for clients is flexible	1	2	3	4	5
1	2	3	4	5	62	Eligibility criteria for clients is clear	1	2	3	4	5
1	2	3	4	5	63	The agency is efficient	1	2	3	4	5
1	2	3	4	5	64	Staff feel committed to the organization	1	2	3	4	5
1	2	3	4	5	65	The organization has low staff turnover	1	2	3	4	5
1	2	3	4	5	66	Case loads are reasonable	1	2	3	4	5
1	2	3	4	5	67	Individualized service	1	2	3	4	5
1	2	3	4	5	68	Staff have roles that are flexible	1	2	3	4	5
1	2	3	4	5	69	The organization is responsive to the needs of clients	1	2	3	4	5
1	2	3	4	5	70	The organization provides quality services	1	2	3	4	5
1	2	3	4	5	71	Has the ability to compete with other agencies for resources	1	2	3	4	5
1	2	3	4	5	72	Communication occurs from the bottom up	1	2	3	4	5
1	2	3	4	5	73	Staff feel their contributions are valued	1	2	3	4	5
1	2	3	4	5	74	Employees understand how their departments fit into the overall budget	1	2	3	4	5
1	2	3	4	5	75	There are opportunities for staff to be creative	1	2	3	4	5
1	2	3	4	5	76	The organization achieves outcomes	1	2	3	4	5
1	2	3	4	5	77	Efficiency is routinely encouraged	1	2	3	4	5
1	2	3	4	5	78	Interests of stakeholders (clients and staff) are important	1	2	3	4	5
1	2	3	4	5	79	Employees communicate well	1	2	3	4	5
1	2	3	4	5	80	The organization has multiple funding sources	1	2	3	4	5

APPENDIX C

GRANT APPLICATION

Grant Application GRANT APPLICATION INSTRUCTIONS

Kentucky Social Welfare Foundation

GRANT OBJECTIVES AND LIMITATIONS:

The goal of the Kentucky Social Welfare Foundation (KSWF) is to use its limited

assets to support programs effectively administered by well-organized social

service and health agencies, including demonstrations of progressive and

effective methods for self-help training.

As Martha Davis stated in creating the KSWF Trust Fund, "This is to be done

through assisting operational organizations to enlarge and broaden their scope,

or through assisting the start-up of new projects to provide new services, which

no existing agency is equipped or has plans to extend." Her intent is the mission

of the KSWF.

Mission: Assist organizations in improving standards of living and

opportunities for the poor, sick, unfortunate, and handicapped persons

residing in Kentucky in rural areas, small towns, and areas of special need.

➤ *The deadlines for applications are March 1 and September 1. Exceptions may be made in the case of emergency or disaster situations.*

➤ **All funds must be expended within 12 months of award date.**

➤ *Your agency must be 501 (c)3 eligible to apply for funding from the KWSF.*

Grants are NOT awarded:

• To special or periodic agency fund appeals

• On-going operational expenses such as salaries

• Major capital expenditures

• Continuation funding

• For personal or private benefit

• For lobbying

• No person, firm, or corporation may derive any personal or private benefit other than reimbursement for approved expenses, or as a recipient of welfare benefits from a supported program.

• No funds may be used for lobbying or for any other activities described as "taxable expenditures" by the I.R.S.

➤ Please indicate if you have applied to the Kentucky Social Welfare Foundation for funding previously.

➤ If you have applied, please indicate if your request was approved and the date approved.

All information requested below is required. Please complete the application which includes the sections listed below. Applications will be scored, and the maximum numbers of points received for each section are indicated.

SECTION	MAX NO OF POINTS
I. Application Cover Sheet	Must be completed
II. Problem Statement	10
III. Project Summary	30
IV Workplace Environment/Organizational Structure	15
V Client Services	20
VI Staff Effectiveness	5
V Budget Narrative	20
TOTAL	100

The application should not exceed a total of **10 pages, single-spaced, 12 point font, with one inch margins, including the application cover sheet**. Do NOT enclose partnership letters, letters of support, supporting documentation, brochures, and agency advertising material, etc. Please submit the original application packet and **15** copies. Do not bind applications and copies. Compile the application so it is easy for reviewers to make additional copies if needed. Please mail the application and copies to the following address:

KENTUCKY SOCIAL WELFARE FOUNDATION c/o: Richard Carnes, Vice President, PNC Advisors, PNC Plaza, Louisville, KY 40202

Project Title:

_____

Amount Requested: $_____

Is this a new project?   ___ yes   ___ no

Population served by project: _____

Location of Project: ___ rural area   ___ urban area

IRS 501(c) 3 agency – **Attach proof of this status**.

Number of persons you expect to serve with this project: _____

FEDERAL TAX IDENTIFICATION NUMBER: _____

Applicant Agency Name: _____

Street Address: _____

City/State/Zip: _____

Telephone: _____

Name and Title of Agency Head: _____

Telephone:_____Fax: _____:email: _____

Name and Title of Program Contact Person, if different:

_____

Street Address: _____

City/State/Zip: _____

Telephone:_____Fax: _____

Email: _____

I do hereby certify that all facts, Figures, and representations made in this application are true and correct. All applicable federal and state laws and program procedures will be implemented to insure proper project management and fiscal control to assure accountability of grant funds. The filing of this application has been authorized by the appropriate authority of the agency and I have been duly authorized to act as the representative of the agency in connection with this application.

_____
Signature of Agency Head/Title   Date

_____
Print Name and Position Title

ANSWER ALL SECTIONS IN THE FOLLOWING ORDER USING SECTION NUMBERS AND QUESTION NUMBERS PRECEEDING YOUR ANSWERS. FOR INSTANCE SECTION II 1 – ANSWER; SECTION II 2 – ANSWER ETC.

SECTION II – PROBLEM STATEMENT:

MAXIMUM of 10 POINTS

1) Please describe why this project is needed.

2) How did you identify the need that is addressed by your proposed project?

3) Does any other organization in your community provide services for this need?

4) If so, what distinguishes your agency's services from others?

SECTION III –PROJECT SUMMARY:

MAXIMUM of 30 POINTS

1) Please describe your proposed project providing a narrative description of your request in detail.

2) Indicate how you will continue to utilize (equipment, services, etc.) in the future and how you will maintain the funding for your request.

3) What are your goals and objectives?

4) What services will your provide with this funding?

5) Describe the start date and timelines for tasks.

SECTION IV – WORKPLACE ENVIRONMENT / ORGANIZATIONAL

STRUCTURE

MAXIMUM of 15 POINTS

1) Please tell us about your agency describing your service area with regard

   to population, cultural, racial and ethnic make up and geographic area

   covered.

2) Is your service area primarily urban or rural or both?

Include a brief summary of your agency's policies and procedures with

regard to:

3) Encouraging low staff/volunteer turnover

4) Fostering a pleasant work environment;

5) Providing a mechanism to assure that staff/volunteers have an

   understanding of how their roles fit into the agency's mission;

6) Discouraging staff/volunteer absenteeism;

7) Providing a safe work environment with low injury rates

8) **(PROVIDE A COPY OF THE AGENCY MISSION HERE)**

9) Promoting a team approach to achieve the agency's mission

SECTION V – CLIENT SERVICES

MAXIMUM of 20 POINTS

Please tell us about the consumers served by your agency. For example, describe your consumers' overall satisfaction with:

1) cost of services

2) hours of availability

3) your agency's services

4) eligibility criteria

5) Does your agency conduct consumer satisfaction surveys?

Briefly describe your agency's policies and procedures with regard to if:

6) consumers have any other role in your agency such as board member, employee, consultant, etc.?

7) your agency provides standardized or individualized services to consumers.

8) you have specific criteria for determining if consumers' goals were achieved.

SECTION VI – STAFF EFFECTIVENESS

MAXIMUM of 5 POINTS

1) How many employees does your agency have?

Briefly describe your agency's policies and procedures with regard to:

2) hiring qualified staff

3) recruiting qualified volunteers

4) providing staff/volunteer trainings

5) providing staff/volunteer performance feedback

6) how your agency encourages good morale, a team approach, and camaraderie among staff/volunteers.

SECTION VII – BUDGET NARRATIVE

MAXIMUM of 20 POINTS

---

1) Clearly define how Kentucky Social Welfare Foundation funds will be spent for this project in a **SEPARATE PROJECT BUDGET.**

2) Attach a **SEPARATE OVERALL AGENCY BUDGET.**

3) If your project is funded, provide a description in your budget narrative of how you expect to expend Kentucky Social Welfare Foundation funds within 12 months of the award date

APPENDIX D

GRANT EVALUATION TOOL

KENTUCKY SOCIAL WELFARE FOUNDATION GRANT SCORING TOOL

Organization Name_____

Rater's Name_____

Date_____

Score_____

Application Notes

	POSSIBLE	SCORE
4c) Clients are treated respectfully with regard to inclusion in the agency operations and individualized services.	5	
4d) Clients opinions are incorporated into the agency's operations via consumer satisfaction surveys.	5	
STAFF EFFECTIVENESS WORTH A TOTAL OF 5 POINTS	**POSSIBLE**	**SCORE**
5a) There is evidence that staffs are qualified, receive management support, receive regular training, and have good morale.	5	
BUDGET NARRATIVE WORTH A TOTAL OF 20 POINTS	**POSSIBLE**	**SCORE**
6a) There is a clearly defined agency budget attached to the application.	5	
6b) There is a clearly defined project budget outlining how KWSF funds will be expended.	5	
6c) There is evidence in the budget narrative of how the agency expects to expend KWSF fund within 12 months of award date.	5	
6d) Additional information regarding the agency budget has been provided.	5	
TOTAL SCORE		

CURRICULUM VITA
Peggy Proudfoot-McGuire

CONTACT INFORMATION

Ohio University Department of Social Work

584 Morton Hall

Athens, Ohio 45701

School: 740-593-1201 (FAX: 740-593-0427), proudfoo@ohio.edu

Home Address: 2111 South Fifth Street, Ironton, Ohio 45638
Home Telephone: (740) 532-0200   Cell: 740-479-1955

POSITIONS HELD

1996-Present
Instructor/ Program Coordinator
Ohio University
Athens, Ohio

Summer 2004 and 2005
Social Work *Faculty*
Kentucky Interdisciplinary Community Screening Program (KICS)
Kent School of Social Work, University of Louisville
Louisville, Kentucky

1998-2001
Family Services Coordinator
Integrated Services for Youth
Ironton, Ohio

1997-1998
Home Health Social Worker
Our Lady of Bellefonte Home Health
Ashland, Kentucky

1994-1996
Clinical Director
Ohio Center for Youth
Pedro, Ohio

1993-1994
Clinical Supervisor
Science Applications International Corporation
SAIC – Substance Abuse Program
Fort Wainwright / Fort Richardson, Alaska
1991-1993
Program Coordinator/Family Therapist
Fairbanks Native Association
Fairbanks, Alaska

1990-1991
Social Worker
W.G. Klingberg Center for Child Development
West Virginia University Medical School
Morgantown, West Virginia

1987-1989
Counselor/Case Manager/ Home Based Therapist
Appalachian Mental Health Center
Elkins and Morgantown, West Virginia

1988-1990
Research Assistant
University Affiliated Center for Developmental Disabilities
West Virginia University
Morgantown, West Virginia

1985-1986
Counselor/Activities Director
Queens Society for the Prevention of Cruelty to Children
Queens, New York
1980-1981
Applied Behavioral Specialist
Verland Foundation
Sewickley, Pennsylvania

1976-1977
Social Worker
West Virginia Department of Welfare, Area 10
Elkins, West Virginia

EDUCATION

2003-Present
Doctoral Candidate
University of Louisville, Kent School of Social Work
Expected date of completion, December, 2006

1991-1993
Substance Abuse Counseling Coursework
University of Alaska,

1989-1990
Master of Social Work
West Virginia University

1977-1980
Bachelor of Fine Arts - Theatre
West Virginia University, Morgantown, West Virginia

1974-1976
Associate in Science
Social Service Technology, Davis and Elkins College

RESEARCH

April 2004 – Present
University Of Louisville, Kent School of Social Work
Development of a Best Practice, Model to Assess Nonprofit Social Welfare
Organizational Effectiveness in Kentucky

This research study addresses the dilemmas faced by philanthropic funding agencies in their resolve to fund proposals submitted by nonprofit human services organizations. The research was funded by the Kentucky Social Welfare Foundation in their quest to develop a decision making tool.

August 1989 – May 1990
West Virginia University, University Affiliated Center
The State Plan for West Virginia Child Protective Services

This research study addressed issues facing West Virginia Child Protective Services (C.P.S.) Workers. Funded by the West Virginia Department of Health and Human Services, the research agenda included case load analysis of C.P.S. Workers; adaptation of a family preservation model into the C.P.S. System; and, training needs and materials development.

May 1990 – December 1990
West Virginia University, University Affiliated Center
West Virginia Child Protective Services Policy: Disabled Infants with Life Threatening
Conditions

*This research study generated the development of a State policy on the provision of
medical care to disabled infants with life threatening conditions. Funded by the West
Virginia Department of Health and Human Services, research included coordination with
the State Bio-Ethics Committee. Educational materials were developed and disseminated
to all hospitals and public child services agencies in West Virginia.*

PUBLICATIONS

O'Brien, P. (O'Brien now McGuire). (1990). *West Virginia Child Protective
Services Policy: Disabled Infants with Life Threatening* Conditions.

O'Brien, P. (O'Brien now McGuire). (1990). *Legal Systems and Child Protective
Services.*

O'Brien, P. (O'Brien now McGuire). (1991). Gifts from Mary Crystal. *The Parent
Connection, 1*(4), 3-4.

McGuire, P. (2004, Fall). South Africa Is Not For the Weak Hearted. *Kent E -
News, 2*(5), 4-5. http://www.louisville.edu/kent/

BOOK REVIEW

For The Journal of Sociology and Social Welfare
Schoen, J. (2005). *Choice & Coercion: Birth Control, Sterilization, and Abortion in
Public Health and Welfare.* Chapel Hill: The University of North Carolina Press.

PUBLICATIONS SUBMITTED

McGuire, P. (2006).The role of organizations in perpetuating dual relationships.
The Journal of Community Practice.

TEACHING EXPERIENCE
Current

University Partnership Program Coordinator: Title 4E Child Welfare
Field Seminar (undergraduate)
Child Welfare (undergraduate)

Taught the following undergraduate and masters level courses for Ohio University Department of Social Work.
Social Work and Mental Health (undergraduate) Social Work as a Profession (undergraduate)
Child Abuse and Neglect (undergraduate)
Human Behavior and the Social Environment (graduate and undergraduate)
Child Welfare (undergraduate)
Weekend College (undergraduate)
Field Seminar (undergraduate)

SCHOLARSHIPS

Christine Smith Scholarship – 2004
Recommended for this scholarship by University of Louisville, Kent School of Social Work faculty, and received $1,500 from the International Order of the Odd Fellows to pursue doctoral studies.

PROFESSIONAL MEMBERSHIPS AND LICENSING

Ohio Licensed Independent Social Worker – LISW   #17334 -renewed January, 2006
Academy of Certified Social Workers - #885055012
National Association of Social Workers
National Association of Alcohol and Drug Abuse Counselors 1992-1995
Alaskans for Drug Free Youth 1991-1994

COMMUNITY SERVICE

Ironton Cooperative Club since 1999

SERVICE TO OHIO UNIVERSITY

2004 – 2005
The University Partnership Field Placement-Minimum Standards Committee
The University Partnership Junior Program Committee

INTERNATIONAL PROFESSIONAL TRAVEL

University of Louisville
Kent School of Social Work International Study Delegation
South Africa – 2004

INVITED TRAININGS and PRESENTATIONS

2000-PRESENT
Child Welfare Trainer
Institute for Human Services
Working with the Fetal Alcohol Syndrome/Affected Child

July, 2006
Rural Social Work Conference
Western Kentucky University
Safety Issues in Child Protective Services